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Programme element II.e

Matters left pending and other issues arising from the programme elements of the Intergovernmental Panel on Forests process

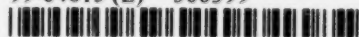
Forest-related work of international and regional organizations and under existing instruments

Note by the Secretariat

Summary

During the second session of the Intergovernmental Forum on Forests (IFF), Governments held substantive discussions on programme element II.e. Information on this topic was provided in the reports of the Secretary-General on forest-related work of international and regional organizations (E/CN.17/IFF/1998/5) and forest-related work under existing instruments (E/CN.17/IFF/1998/11), which included descriptions of institutions and instruments and opportunities for potential institutional synergies to support the IFF process among members of the informal, high-level Inter-Agency Task Force on Forests, as well as other international organizations.

The present note has been prepared to support update discussions during the third session of IFF. In response to the request by IFF at its second session, section III summarizes the results of an analysis of the experience with implementation, compliance and achievements of forest-related work under existing instruments and by international organizations. Section IV contains additional conclusions and proposals for action for further consideration by the Forum.



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I. Mandate and scope

A. Mandate

1. The Intergovernmental Forum on Forests (IFF), at its first session, defined programme element II.e as follows: "*Consider forest-related work of international and regional organizations*. Further examine the forest-related work being carried out by international and regional organizations and under existing instruments in order to identify gaps and overlaps" (see E/CN.17/IFF/1997/4, para. 7, category II (e)).

B. Scope

2. At its second session, the Forum requested its secretariat to submit, at the third session, an in-depth analysis of the experience with implementation, compliance and achievements of forest-related work under existing instruments and by international organizations. The present note also analyses the nature and magnitude of demands by existing instruments and organizations on national institutions and their capacities to respond to these demands. Coherence among forest-related objectives and policies and effectiveness of their implementation is briefly discussed. In response to the request by the Forum, section III summarizes the results of the analysis undertaken by the IFF secretariat, and section IV contains a set of additional conclusions and proposals for action for further consideration by the Forum. It is suggested that these additional conclusions and proposals for action be considered in conjunction with the preliminary conclusions and proposals for action agreed upon by IFF at its second session. A discussion and analysis of the degree of effectiveness of international cooperation to support forest-related work is contained in the report of the Secretary-General on the need for financial resources (E/CN.17/IFF/1999/4).

3. The present note is also complementary to the report of the Secretary-General on programme element III (E/CN.17/IFF/1999/16). The present note has been prepared in the context of the mandate to "... work towards a consensus on international arrangements and mechanisms, for example, a legally binding instrument ..." (see E/CN.17/IFF/1997/4, para. 7, category III). The conclusions and proposals for action adopted by the Forum on programme element II.e, however, would continue to have a value by themselves for matters concerning the forest-related work under existing instruments and by international organizations, independently of the consensus to be reached by the Forum at its fourth session with respect to programme element III.

II. Results of the second session

4. At its second session, the Forum held a substantive discussion on programme element II.e, resulting in a set of preliminary conclusions and proposals for action (see E/CN.17/IFF/1998/14, sect. II.F) to be reviewed, updated and, if necessary, further negotiated during the third session.

5. While considering programme element II.e at its second session, IFF acknowledged that in the context of the implementation of the Intergovernmental Panel on Forests (IPF) proposals for action, analysis has shown that the critical issue for the work of international organizations is not gaps, overlaps or areas of duplication. The organizations have delineated themselves fairly well both substantively and geographically, as well as operationally. The

real challenges ahead lie in further strengthening the existing partnerships among members of the Inter-Agency Task Force on Forests and other international and regional organizations and instruments, and in facilitating the establishment of new modalities of cooperation between Task Force members and other partners for making the best use of available forest-related institutional capabilities at the national, regional and international levels. Special attention should be paid to the coordination of international support to country efforts aimed towards sustainable forest management, primarily through national forest programmes.

6. The Forum also emphasized that complementary objectives and approaches on forest-related issues, which are built upon the IPF proposals for action, are crucial for promoting improved efficiency and coordination among institutions, organizations and instruments. Future efforts by international organizations, multilateral institutions and instruments should be flexible in order to accommodate existing and emerging needs, as well as the different levels of social and economic development of countries, in particular developing countries. Member States of the different governing bodies of international organizations and instruments should also strive towards improved policy consistency for the creation of effective and mutually supportive work programmes in these organizations and instruments.

III. Analysis of experience with implementation, compliance and achievements of forest-related work under existing instruments and by international organizations

7. The present section presents the results of the analysis requested by IFF at its second session. The analysis was undertaken on the basis of information compiled in a survey by the IFF secretariat that was sent to 60 institutions covering a wide spectrum of legally and non-legally binding instruments, international organizations, including the United Nations system, the regional commissions, regional development banks, other intergovernmental bodies, and several non-governmental organizations of recognized experience in forest-related activities. The analysis is also based on information and results from government-led initiatives that have supported both the IPF and IFF processes. In accordance with the guidance provided by the Forum at its second session, the survey was designed to solicit information relevant to programme elements II.e and III. Of the list of 60 organizations and instruments to which the questionnaire was sent (see annex), responses were received from 15 institutions. The IFF secretariat has attempted to draw a few preliminary conclusions; however, in view of the rather small number of respondents, these preliminary conclusions should be considered with caution.

8. In organizing relevant information for the preparation of the present section, "regional and international organizations" and "instruments" were distinguished as two different kinds of entities. In the context of IFF deliberations, the term "instruments" refers to forest-related regimes, both legally binding (conventions) and non-binding. Instruments are viewed as agreed-upon principles, norms, rules and decision-making procedures that govern the interactions of actors in specific substantive areas. As such, they provide the governing framework for discourse, actions and operations at the national, regional and international levels. They vary greatly in terms of membership, functional scope, geographical domain, complexity, degree of formalization, stages of development, and compliance or degree of implementation.

9. "International and regional organizations", by contrast, are material entities possessing offices, personnel, equipment, budget, and governing bodies, and have a legal personality. Through their periodic work programmes adopted by their governing bodies, these

organizations usually play important roles in implementing and administering the provisions of many international regimes.

A. Instruments

10. It is known that most developing countries have serious difficulties in meeting the objectives, demands and compliance requirements of existing forest-related instruments and conventions because of their limited institutional and financial capacity, lack of manpower and limited national legislative frameworks to support these conventions. Substantive support by the international organizations and institutions to the implementation of forest-relevant global and regional instruments is based on existing forest-related capacities for information-gathering, monitoring and assessment, particularly within the members of the Task Force, as well as on technical expertise and ability to respond to national needs at the national and subnational levels.

11. The large majority of developing countries are parties to international instruments with forest-related elements, most of which require forest-related information and data for the reporting and monitoring of progress and compliance. The need for international mechanisms to standardize and harmonize concepts and reporting formats is discussed in the report of the Secretary-General on monitoring progress in implementation (E/CN.17/IFF/1999/3). However, there is currently no formal mechanism, at either the global or the regional level, to undertake a composite review of the compliance of forest-related obligations of existing instruments in a cohesive and comprehensive manner, and to assess their collective effectiveness in achieving sustainable forest management.

B. International and regional organizations

12. International and regional organizations have played an important role in the implementation of the proposal for action adopted by IPF in February 1997 and endorsed in June 1997 by the General Assembly at its nineteenth special session. IPF has been successful in catalysing new action and commitments, and has contributed to the deliberations on sustainable forest management among a wide variety of partners and major groups within and outside the United Nations system. Although much remains to be done, there has been tangible progress in implementation by international organizations at the national, regional and international levels. A step forward in developing a fuller understanding of the work of forest-related international and regional organizations and instruments has been achieved by the Food and Agriculture Organization of the United Nations (FAO), in cooperation with other Task Force members, through responding positively to the Forum's request at the second session to develop a comprehensive directory of these institutions.

13. The information contained in the report of the Secretary-General on this topic prepared for the second session (E/CN.17/IFF/1998/5) showed that the forest-related work-programmes of Task Force members collectively cover almost the totality of substantive areas on the international agenda for action on forests as defined by the IPF/IFF process. In addition to the recognition accorded by IPF, the Commission on Sustainable Development and the General Assembly at its nineteenth special session, the Task Force has also been recognized as an innovative mechanism by the Inter-Agency Committee for Sustainable Development, which is charged with coordinating the follow-up to the United Nations Conference on Environment and Development (UNCED) and Agenda 21 by the United

Nations system. At its second session, the Forum requested Task Force members to explore and develop the potential for institutional synergies with other partners with respect to specific IPF proposals for action and IFF programme elements, especially with regional development banks, regional commissions and other regional intergovernmental bodies, non-governmental organizations, other international organizations and private-sector institutions.

14. It has also been pointed out in the report of the Secretary-General on the need for financial resources (E/CN.17/IFF/1999/16) that many of the institutions that responded to the IFF secretariat survey felt that in order to accomplish increased efficiencies, synergies and coordination to advance in a meaningful way, concerted and above all concrete joint action has to take place. This is true not only for organizations that have operational activities at the country level but also for some of the instruments. For the forest sector to become relatively more effective and influential and attract more resources, international and regional institutions and bilateral donors with coordination units at the national level would have to be engaged. Some respondents to the survey believed that this coordination and synergy could be accomplished most effectively through national forest programmes. It is quite evident that international organizations and multilateral institutions are the most effective and responsive to those policies that reflect the needs that they have encountered at the national and field levels. Policies with global objectives are more difficult to implement since they are less concretely felt at the national level, where more evident and acute local needs are prioritized.

C. Implementation and compliance of forest-related work under existing instruments and by international organizations

15. Despite the low rate of response to the survey conducted by the IFF secretariat in response to the request of the Forum, the results were quite interesting and illuminating, and will perhaps answer some of the questions posed by the Forum concerning international and regional organizations, NGOs and others. Some of the results of the survey, in particular those relating to compliance to instruments, can also be found in the report of the Secretary-General on the need for financial resources (E/CN.17/IFF/1999/16), and should be considered in the context of the results contained in the present report in order to have a complete picture of the responses.

Implementation

16. At its second session, the Forum expressed the need to identify those areas where implementation has seen the most progress and those which had encountered the most impediments. The areas that seem to have made the most progress in implementation are related to:

- (a) Information-gathering and dissemination;
- (b) Improved harmonization of data sets;
- (c) Establishing networks among different interested parties, primarily related to information and research;
- (d) Programmes that adopt participatory, intersectoral and/or ecosystem approaches;
- (e) Increased interest and participation in policy dialogues, as well as giving policy advice and support.

17. Programmes which involve value added to the forest resource seem to enjoy success, presumably because benefits are more immediately felt. Such programmes include:

- (a) Forest resource creation (plantations);
- (b) The development of a forest products industry;
- (c) Traditional knowledge.

18. Several of the respondents also listed capacity-building programmes as enjoying significant progress. It was also felt in a few cases that the scientific aspects of conservation and forestry are having increasing influence on problems related to forest management.

19. As to impediments to implementation, several responses identified lack of funding. There was no recurring dominant issue that was identified as an impediment. Some of the impediments, if not exactly alike, relate to such areas as:

- (a) Lack of existence or enforcement of clear national programmes and priorities related to forests;
- (b) Lack of integration of forest priorities with national development goals;
- (c) Lack of sound policies on land use, tenure and property rights;
- (d) Irregularities in Governments, such as corruption;
- (e) Lack of effective policy instruments;
- (f) Lack of a definition of what is meant by sustainable forest management and the related issue of a critical mass of evidence that the concept works and is applicable in the field.

20. Other impediments were related to information and awareness, such as data availability and consistency, ill-guided campaigns and misunderstanding by the public, especially about tropical forests and their products, and lack of information and communication technologies. Human resource skills did not feature as an impediment; however, lack and loss of available human resources in institutions was noted, both at the national level and in the responding institutions, along with a lack of continuity in institutional leadership and organization. Inability to reconcile protectionist and productionist views, as well as a lack of ground rules for forest management and related activities, were also said to be impediments to implementation. The lack of political commitment was also identified by a few responses, leading to protracted, artificial and unnecessary international negotiations without any concrete results, especially at the field level.

21. Other impediments related to internal characteristics of the responding institutions themselves, such as weak mandates or policies in the forest sector, as well as low visibility of the issue in the organization as a whole, which had led to decreasing demand for services. Lack of coordination among and within organizations, as well as competition, were mentioned in a few cases.

22. In the report of the Secretary-General on the need for financial resources (E/CN.17/IFF/1999/16), it is noted that those legally binding instruments that responded to the survey rated compliance to forest-related obligations as relatively high, while the more recently established instruments were just in the process of developing monitoring mechanisms for those obligations and were not in a position to assess compliance.

23. In summary, at least the following five areas need enhanced international support for the implementation of sustainable forest management at the national level:

(a) **Governance:** effective governance of international institutions, organizations and instruments dealing with forest-related issues, and on the national level as regards transparency and corruption;

(b) **Coordination:** improved coordination between international and bilateral funding agencies and national level coordinating units for national forest programmes;

(c) **Capacity-building:** projects to strengthen capacity-building (especially managerial and institutional), technology transfer and exchange (especially related to modern communication and information exchange), and human resource retention and development, in particular at the national and field levels;

(d) **Data:** strategic data collection, analysis, synthesis and reporting. Much more focus must be put on providing national-level staff with the tools to collect and provide information and data, primarily to improve national-level monitoring and reporting but also to be able to participate in regional and international level initiatives, such as the criteria and indicator processes;

(e) **Participation:** improved participation of major groups in forest forums and national forest programme processes to promote sustainable forest management.

D. Nature and magnitude of forest-related demands by organizations and instruments on national institutions, and their ability to respond

24. The Forum also requested an analysis of the nature and magnitude of demands on national institutions, as well as existing national capacities to respond to these demands. It should be noted that this survey was undertaken among the organizations and instruments that place the demands on others and not among those that actually have to respond to them. Even if the organizations felt that the magnitude of their demands on national institutions was "medium", requests (even if only at the "medium" level) from these 15 organizations over a year could easily add up to quite a heavy burden on any particular national institution. The survey also sought the organizations' view on the main impediments and strengths within national institutions to respond to a range of different demands.

25. The survey specifically requested information on the demands on national institutions in terms of national reporting; project and programme formulation and implementation; assessment and evaluation; and statistical data. Some of the respondents added other demands, such as participation in policy dialogues and policy formulation. The results may be summarized as follows:

Nature of demand	Magnitude	Ability to respond
National reports	Medium	Medium/low
Project/programme formulation and implementation	High	Medium
Assessment and evaluation	Medium	Medium/low
Statistical data	Medium	Low

26. Among the responses to the questions to identify the three main impediments faced by national institutions in responding to demands by international and regional organizations and instruments, and to note the three main strengths in meeting these demands, the main

impediments mentioned were lack of funds, lack of managerial skills resulting in inefficiencies, and lack of awareness of information and data sources, as well as lack of access to communication and other technologies. Lack of availability of human resources, related to low salaries and the lack of prestige and priority attached to the forest sector in Governments, was also frequently mentioned.

27. By far the most frequently mentioned strengths of national institutions were the professional and technical skills of human resources. Staff is well aware of particular national circumstances and problems and committed to finding solutions. Some of the strengths identified include dedication and well established traditions in forestry. In some cases, it seems that strengths are developing in participatory approaches and cross-sectoral planning processes, thereby improving implementation success significantly.

28. Other studies show that most of the demands made by existing instruments relate to legal enforcement, monitoring, assessment, data collection, national reporting, project formulation and implementation, as well as attendance at meetings. There is considerable overlap in all these demands by different instruments. Governments have recognized the overwhelming increase in such demands, and several proposals are presently under consideration by different intergovernmental governing bodies. Such matters as national reporting, geographically separate location of secretariats and high-level segment meetings have been noted as typical issues requiring improved coordination. Different intergovernmental forums have already identified approaches on how to overcome this situation, including the following:

(a) All international and regional organizations inside and outside the United Nations system and secretariats of relevant instruments should cooperate to streamline national reporting and/or integrating national reporting requirements; share official information from Governments so that Governments would not be requested to provide the same information to more than one United Nations organization or instrument secretariat; make information available electronically, on a country-by-country basis, in a manner that would facilitate electronic linkages among the organizations and bodies of the United Nations system and the secretariats of the conventions.

(b) The conferences of the parties to conventions should, if appropriate, give consideration to the co-location of secretariats so as to improve the scheduling of meetings in order to improve the balance between sessions of the conferences of the parties and sessions of their subsidiary bodies, and to encourage and facilitate the participation of Governments in those sessions, at an appropriate level.

E. Achievements

29. Major achievements since UNCED have been the entry into force of the United Nations Framework Convention on Climate Change and its recognition of forests as carbon sinks; the Convention on Biological Diversity and its programme of work on forests; and the United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, particularly in Africa, of particular relevance for countries with low forest cover. However, the full implementation of these important conventions and elements of other forest-related instruments (for a list, see annex) remains to be carried out. In most cases, further strengthening of their forest-related elements is required to embody the Forest Principles more firmly in national and international law and practice impacting on forests.

30. With decreasing resources, international and regional organizations are finding it increasingly difficult to meet the needs of their constituencies. While many existing activities are recognized as fulfilling essential functions, there is no doubt that forest-related programmes could be further improved. These organizations have to respond to ever-increasing and new demands and issues, running the risk of spreading themselves too thin and not having the resources to maintain core competencies in some critical areas. The two major challenges in the future will be to organize activities of these organizations around an agreed international priority agenda on forests, and to ensure a critical mass of competencies for effective implementation. Expansion of the scope of the activities of the Task Force beyond servicing the IPF/IFF process is considered to be a significant achievement in inter-agency cooperation.

F. Coherence of forest-related objectives and policies among existing instruments

31. A recurrent recognition in the IPF/IFF process has been the notion that sustainable forest management requires the participation of many diverse institutions involved in addressing issues related to forests. A better understanding of the work carried out by different international and regional organizations, and under existing instruments, is one of the most important contributions to date of IFF towards the forging of synergies as well as to overcoming the inefficiencies derived from fragmented approaches to forest policies, programmes and institutions.

32. Existing international conventions (see list contained in annex) embody several cross-sectoral issues that are relevant to forests, such as financial resources, conservation, technology transfer, trade and traditional knowledge, and consequently address forest-related issues in a specific context. However, none of these instruments and no single international or regional organization has either a mandate or the capacity to address, in a balanced, holistic and mutually reinforcing manner, all priority issues related to all types of forests which are currently on the international priority agenda.

33. There is a need to strengthen cooperation among the conferences of the parties to various conventions signed at the United Nations Conference on Environment and Development, as well as other conventions with forest-related elements, in order to advance the effective implementation of the IPF/IFF proposals for action. There is also a need for a better scientific assessment of forest-related linkages between existing instruments. There are certainly opportunities to achieve further efficiencies by implementing action-oriented forest-related projects and programmes that are relevant to more than one instrument and that provide multiple benefits at the national level.

34. Taking into account the large number of decision-making bodies concerned with various aspects of forests, including international conventions, there is a need for coordination of forest policy at the intergovernmental level, as well as for continued and more concerted efforts to enhance collaboration among the secretariats of various decision-making bodies.

G. Potential contributions by regional and international voluntary initiatives

35. Several initiatives related to developing and implementing criteria and indicators for sustainable forest management (in which more than 130 countries now participate) can make a unique contribution to addressing sustainable forest management issues in a holistic way at the national and regional levels. These initiatives have been launched by like-minded countries outside the framework of the United Nations system, and are presently promoting effective implementation of sustainable forest management at the national level. In view of the many organizations, initiatives and instruments that now need and develop data sets relevant to forest, there is considerable scope for harmonization and standardization of methodologies.

36. It was evident that the NGOs and major groups that responded to the survey felt that their participation in international policy dialogues on forests needs to be made more effective. It should be cause for concern that those major groups, which will be among the most important implementors of sustainable forest management, such as private industry, forest owners, forest workers, indigenous people and other local populations, do not feel that their particular concerns are sufficiently taken into account.

IV. Additional preliminary conclusions and proposals for action

37. The following conclusions and proposals for action are additional to the ones already agreed upon on this topic by the Forum at its second session. Considering that many institutional and legal issues are closely interrelated, the final conclusions and proposals for action under programme element II.e to be adopted by the Forum at its fourth session would need to take into account and complement the outcome of consensus reached under programme element III.

38. The proposals for action of IPF have been recognized as the most important and comprehensive consensus for forest-related action adopted since UNCED. Even if notable progress has been made in some areas, there is still unsatisfactory progress in the overall implementation of the proposals for action by organizations and instruments. There continues to be an urgent need for institutional mechanisms and financial support to facilitate the mobilization of the respective strengths and capacities of relevant institutions and instruments around a common priority agenda for concrete action on forests. This could be promoted through continued policy dialogue, consensus-building and international cooperation among them.

A. Additional preliminary conclusions

Implementation and compliance

39. Implementation of and compliance with forest-related commitments made under Agenda 21, the Forest Principles, the IPF proposals for action and international instruments have seen some progress in certain areas, but overall progress remains inadequate. The transformation of these commitments into real priority actions at the national, regional and global levels continues to remain a challenge. A cohesive and comprehensive agenda for priority action on forests is lacking in terms of both institutions and instruments.

40. There is a need to establish appropriate mechanisms to ensure implementation and compliance of forest-related work under existing instruments and by international organizations beyond the year 2000 by:

(a) Advancing a comprehensive consideration of all relevant forest-related priority issues, which encompass all types of forests, that would facilitate concerted and joint action by organizations with forest-related capabilities;

(b) Providing adequate, sustained and predictable assistance to complement the resources of developing countries in order to implement national forest programmes aimed at the management, conservation and sustainable development of all types of forests, and to respond to demands by the international organizations and instruments;

(c) Monitoring systematically the implementation of IPF/IFF proposals for action and forest-related obligations under existing instruments;

(d) Providing a forum to address and minimize potential sources of conflict associated with high levels of deforestation and forest degradation, forest fires, trade in forest products and services, or in any other forest-related issues with high transboundary, regional and global impacts.

Demands on national institutions

41. Most developing countries encounter enormous difficulties in providing timely responses to the demands and to implement the substantive objectives of most instruments and conventions and in putting into practice their compliance requirements, due to their limited institutional and financial capacity, lack of manpower and managerial skills and inadequate or non-enforced national legislative frameworks to support these instruments. Streamlining of reporting, as well as collective efforts to harmonize data set and standardize methodologies, could go a long way towards alleviating some of the burden on national institutions, as well as making regional and international-level monitoring, data collection, reviewing and reporting more efficient.

Coherence of forest-related objectives and policies among existing instruments

42. As noted by IPF, there is no global instrument dealing primarily with all types of forests in a cohesive, comprehensive and holistic manner. Considering the current crisis of the forest sector in general, aggravated by institutional instability, alarming rates of deforestation, and forest fires with national and regional consequences, it is urgent for international and regional organizations, as well as for Governments, to deal coherently and effectively with all the interrelated economic, social, environment, cultural and development matters that often underlay these crises in order to achieve management, conservation, and sustainable development of all types of forests. Such issues as trade, market access and transparency, and economic, environmental and social policies which directly or indirectly affect the forest sector, as well as governance and corruption, private investment, financial resources and transfer of technology, need to be addressed in an integrated manner to achieve efficiency and effective results.

B. Additional preliminary proposals for action

43. The Forum may wish to:

(a) Recommend that the Commission on Sustainable Development continue advancing the holistic consideration of all relevant forest-related issues, encompassing all

types of forests, so as to facilitate concerted and joint action by organizations with forest-related capabilities;

(b) Request the Inter-Agency Task Force on Forests to initiate, in consultation with relevant secretariats of conventions and international and regional organizations, a collective action programme to support national forest programmes in developing countries, including countries with low forest cover, with a focus on institutional capacities, legislative and regulatory safeguards, and development of human resources needed to facilitate effective compliance and the implementation of global and regional forest-related policies and instruments;

(c) Urge countries to develop appropriate compliance mechanisms and procedures, on a mutually agreed basis, for the fulfilment of all obligations relevant to forest-related elements under existing instruments. Developing countries should be assisted to develop these tools according to country-specific conditions;

(d) Invite countries to establish a mechanism to ensure a substantial increase in resources for operational activities allocated towards the management, conservation and sustainable development of all types of forests on a predictable, sustained and secure basis.

Annex

List of forest-related international and regional organizations and instruments

Legally binding instruments

Global

Convention on Wetlands of International Importance Especially as Waterfowl Habitat

Convention for the Protection of the World Cultural and Natural Heritage

Vienna Convention for the Protection of the Ozone Layer

United Nations Framework Convention on Climate Change

Convention on Biological Diversity

United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa

Convention Concerning Indigenous and Tribal Peoples in Independent Countries

Convention on International Trade in Endangered Species of Wild Fauna and Flora

International Tropical Timber Agreement

General Agreement on Tariffs and Trade

Regional

Convention on Long-Range Transboundary Air Pollution

Treaty for Amazon Cooperation

Central American Convention on Forests

Lome IV Convention

Alpine Convention

North American Free Trade Agreement

Treaty Establishing the Common Market for Eastern and Southern Africa

International and regional organizations

Treaty-based organizations

African Timber Organization

European Union

International Monetary Fund

International Tropical Timber Organization

Organization of American States

Organisation for Economic Cooperation and Development

World Trade Organization

Regional development banks

African Development Bank

Asian Development Bank

Inter-American Development Bank

European Bank for Reconstruction and Development

United Nations

Food and Agriculture Organization of the United Nations

United Nations Educational, Scientific and Cultural Organization

World Bank

United Nations Development Programme

United Nations Environment Programme

United Nations Conference on Trade and Development

World Food Programme

United Nations Industrial Development Organization

United Nations University

World Intellectual Property Organization

World Meteorological Organization

Intergovernmental Panel on Climate Change

Regional commissions

Economic and Social Commission for Asia and the Pacific

Economic and Social Commission for Western Asia

Economic Commission for Africa

Economic Commission for Europe

Economic Commission for Latin America and the Caribbean

Other organizations and forums

International Institute for Environment and Development

International Wood Products Association

World Conservation Monitoring Centre

World Resources Institute

World Wide Fund for Nature International and associated non-governmental organizations

World Business Council for Sustainable Development

Central American Council of Forests and Protected Areas

Asia Forest Network

European Forest Institute

Centre for International Forestry Research

International Center for Research in Agroforestry
International Boreal Forest Research Association
International Union for the Conservation of Nature
Global Environment Facility
International Union of Forestry Research Organization



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Programme element III

International arrangements and mechanisms to promote the management, conservation and sustainable development of all types of forests

Report of the Secretary-General

Summary

The present reports aims to address the first part of programme element III of the Intergovernmental Forum on Forests, namely to identify possible elements of international arrangements and mechanisms, such as a legally binding instrument on all types of forests. The report first provides background information relevant to this task. It continues by summarizing the results of a survey conducted by the Forum secretariat in response to the request by the Forum to consider the role, effectiveness and relevance of and compliance with existing arrangements and mechanisms. The report recalls some of the issues relevant to this programme element that have also been addressed in documents by the secretariat prepared for previous sessions on this topic. The report concludes by proposing a set of elements which collectively appear to constitute an international priority agenda for action on forests. The proposed list of elements aims to integrate the emerging consensus in the areas of priority concern identified at the United Nations Conference on Environment and Development and the Intergovernmental Panel on Forests/Intergovernmental Forum on Forests processes. The report also includes a brief overview of the first meeting of the Costa Rica-Canada initiative, held at San José, Costa Rica from 22 to 27 February 1999 in support of programme element III. Suggestions for preparations for the fourth session of the Forum are also included in the report.



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I. Introduction

1. International arrangements and mechanisms to promote the management, conservation and sustainable development of all types of forests were discussed towards the end of the Intergovernmental Panel on Forests (IPF) process. This issue, treated under programme element III of the Intergovernmental Forum on Forests (IFF), also received background discussion at the Forum's second session, and is scheduled for substantive discussion during its third session. It is proposed that the Forum's approach to consensus-building for this particular topic be pursued in two steps: first, at its third session, the Forum would develop a consensus on the principal components or elements, of the international priority agenda for action on forests; second, at its fourth session, the Forum would develop a consensus on future international arrangements and mechanisms, such as a legally binding instrument, that would facilitate the implementation of the priority agenda for action on all types of forests, identified at the third session.

II. Context

2. At its first session, IFF defined programme element III as follows:

"Identify elements, build a global consensus and engage in further action. The Forum should also identify the possible elements of and work towards a consensus on international arrangements and mechanisms, for example, a legally binding instrument on all types of forests. The Forum will report on its work to the Commission on Sustainable Development in 1999. Based on that report and depending on the decision taken by the Commission at its eighth session, the Forum will engage in further action on establishing an intergovernmental negotiation process on new arrangements and mechanisms or a legally binding instrument on all types of forests" (see E/CN.17/IFF/1997/4, para. 7, category III).

3. The background discussion of programme element III at the second session of IFF resulted in a Co-Chairmen's summary as part of the report of the second session (see E/CN.17/IFF/1998/14, sect. III), which reiterated the importance of the Forest Principles, as well as other processes, instruments and initiatives, in guiding IFF work under this programme element. At its second session, IFF requested its secretariat to undertake an analysis with a view to clarifying the role, effectiveness and relevance of existing arrangements and mechanisms, both legally binding and

others, in achieving the objectives of the management, conservation and sustainable development of all types of forests. The analysis was to include progress in and impediments to their implementation and compliance, and was to be undertaken in conjunction with the analysis requested under programme element II.e (Forest-related work of international and regional organizations and under existing instruments). The full details of that analysis by the IFF secretariat are contained in the note by the secretariat on programme element II.e (E/CN.17/IFF/1999/15); a brief summary of some of the results is included under section IV below.

III. Background

4. Realizing the multiple benefits of the sustainable management of forests and other wooded lands will require cross-sectoral policy harmonization within a country, taking into account transboundary, regional and global dimensions, as well as the productive, environmental and social functions of forests. It has been argued that many complex and cross-sectoral aspects of productive, economic and social development, as well as environmental protection, intersect in forests, so that how forests are managed, conserved and developed can be seen as a reality check for sustainable development.

5. The forest issue has been deliberated actively in a large number of intergovernmental forums, particularly during the past decade. Those deliberations have followed two distinct tracks; one in which the deliberations focused primarily on forests; and a second in which the primary focus has been on other issues of international significance, to which forests make an important contribution.

6. The main outcomes of the first track of international policy dialogue, which focused primarily on forests, include the Forest Principles, chapter 11 of Agenda 21 and the IPF conclusions and proposals for action. Collectively, these outcomes represent the most holistic international consensus on priority areas of concern and proposed action towards the management, conservation and sustainable development of all types of forests. This consensus recognizes the wide diversity of social, economic, environmental, cultural and political conditions around the world and accordingly the need to develop appropriate diverse approaches towards sustainable forest management. This track has focused on the productive, social and environmental functions of forests in a balanced manner. It is suggested that the elements for future international action on forests beyond the year 2000

be built on this existing consensus, and on the emerging consensus in areas of priority concern addressed by IFF.

7. The second track mainly follows the intergovernmental negotiations that are primarily focused on other issues of global concern, such as climate change, biological diversity, trade in endangered species, combating desertification, sustainable development of mountains, and the quantity and quality of freshwater. Forests in this track provide services and benefits that help to address some aspects of these issues. For example, forests as a reservoir of carbon and as rich habitats for plants and animals serve to address questions associated with climate change and biological diversity. Accordingly, forests are recognized in several chapters of Agenda 21 apart from chapter 11, and are also included as an important element in a number of legally binding instruments.

IV. Current situation

Role, effectiveness, relevance and compliance of existing arrangements and mechanisms

8. At its second session, the Forum requested its secretariat to undertake an analysis with a view to clarifying the role, effectiveness and relevance of different types of arrangements and mechanisms, including organizations, instruments, non-governmental organizations, private sector and voluntary initiatives in achieving the objectives of management, conservation and sustainable development of all types of forests. The IFF secretariat, in a survey of organizations and instruments, solicited information relevant to this request by the Forum. Detailed information on the results of that inquiry is presented in the note by the secretariat on programme element II.e (E/CN.17/IFF/1999/15). The present report provides only a brief overview of the responses particularly relevant to programme element III. In view of the rather small number of respondents, conclusions should be considered with caution.

9. The Forum also called for creating synergies among the work of different organizations and institutions so as to capitalize more effectively on their work being currently carried out. Many of the institutions that responded to the survey felt that in order to accomplish increased efficiencies, synergies and coordination in a meaningful way, the first priority would be to undertake concerted and concrete joint action. Depending on the nature of the organization, there was considerable variation in the proposals on the mechanisms and arrangements that would be most useful to

achieve their specific objectives. Organizations primarily involved in monitoring and assessment as well as research and information dissemination felt that further development and increased funding of initiatives supporting harmonization and standardization of terminology, concepts and monitoring approaches would be extremely useful to advance a common understanding and promote effective action. The secretariats of legally binding instruments that responded to the survey felt that joint forest-related programmes and/or liaison groups that deal with forest issues could be a useful mechanism for forest-related issues.

10. Some respondents to the survey expressed the need to make a clearer distinction between actions taken at the local, national, regional and international levels. It was also suggested that international mechanisms should be focused more on areas where value added could be truly achieved at that level. Some respondents stressed that common definitions and common long-term goals would be needed to implement the objectives of management, conservation and sustainable development of all types of forest. From the point of view of policy development and operations, as well as in deliberations at the international level, partnerships with industry and other major groups, such as environmental groups, were mentioned as useful mechanisms.

11. The Forum also requested information on compliance of forest-related commitments in existing instruments. Responses were received from secretariats of four legally binding instruments, namely the International Tropical Timber Agreement (ITTA), the Convention on Biological Diversity, the United Nations Convention to Combat Desertification in Those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa and the Treaty for Amazon Cooperation. The secretariats of the Convention on Biological Diversity and the Convention to Combat Desertification felt that it was premature for them to assess compliance with forest-related commitments within their instruments. The secretariat of the Convention to Combat Desertification is in the process of developing implementation and evaluation indicators, and their testing will start with some parties. The forest biological diversity programme of the Convention on Biological Diversity is still in its early stages, and its compliance status at the national level is not yet fully known. The secretariat of the Treaty for Amazon Cooperation responded that commitments related to information have high compliance among its parties, and those dealing with policy advice and research medium to high compliance. The secretariat of ITTA felt that compliance related to ITTA (1994) and objective 2000 were medium to high, as was also the case for commitments

dealing with criteria and indicators, management of natural and planted forests, biological diversity and fire protection.

Multiple constituencies of forests, and the need for a cohesive and comprehensive approach

12. Multiple benefits of forests have resulted in multiple constituencies of forests with both complimentary and conflicting interests. A range of special interest groups, institutions and instruments interface with forests at the national, regional and global levels. It is notable that most of these constituencies focus on specific functions and outputs (i.e., "demands") from forests, such as biological diversity, carbon sequestration, wood and non-wood forest products, fibre and fuelwood, in a piecemeal manner; thus, they do not adequately address cohesively the fundamental aspects of maintaining health and productive capacity of forests as a whole, which would ensure that the conditions are met for forests to sustainably "supply" a wide range of functions and outputs to meet diverse demands. Consequently, the forest agenda lacks a cohesive and comprehensive implementation framework, and is pursued in a fragmented manner. One of the conclusions of IPF noted that there is no global instrument that deals in a comprehensive and holistic way with all types of forests.

13. IFF faces the challenge to formulate a cohesive and comprehensive agenda for priority action towards the management, conservation and sustainable development of all types of forests. In undertaking this task, it not only needs to consider the consensus reached so far specifically on forests, but would have to also consider forest-related aspects embodied in instruments addressing other issues of global significance. The ultimate objective is to develop an international agenda for action on forests which is holistic, integrated and comprehensive, in accordance with United Nations Conference on Environment and Development (UNCED) objectives, so as to maintain forests and other wooded lands in a healthy and productive state to meet the diverse needs of current and future generations and address other issues of global significance.

V. Towards the identification of possible elements of international arrangements and mechanisms, for example a legally binding instrument, on all types of forests

14. The Forest Principles and chapter 11 of Agenda 21 are the first concrete examples of the international community's

commitment towards formulating forest policy at the global level. The concepts contained therein are now widely accepted, reflecting a holistic, comprehensive and cohesive approach towards the management, conservation and sustainable development of all types of forests. The IPF process provided further value added in operationalizing the Forest Principles for national-level action as well as for providing a basis for international cooperation. The IFF process is testimony to the international community's continued commitment to the holistic and cross-sectoral approach to addressing some of the more pressing problems faced by many countries worldwide, such as how to achieve development without degrading the environment and the basic life support systems to such an extent that it causes irreversible changes.

15. As already noted above, the challenge for IFF under this programme element during its third session is to identify possible elements as a first step in working towards consensus on international arrangements and mechanisms, such as a legally binding instrument on all types of forests. The Forest Principles — the first global consensus on forests — chapter 11 of Agenda 21, and the IPF and IFF processes contain the fundamental components for action identified to date by Governments in negotiations related to the international sustainable development agenda. These three successive forest policy deliberations have notably sharpened the scope of the most important forest-related issues constituting the international priority agenda for action on forests. The following elements reflect the issues in the Forest Principles and the IFF and IPF processes for international cooperation and action on forests:

- (a) National forest programmes;
- (b) Forest conservation, unique types of forests and protected areas;
- (c) Combating deforestation and forest degradation;
- (d) Rehabilitation and restoration of degraded forest lands, and the role of planted forests;
- (e) Monitoring, assessment and reporting;
- (f) International cooperation in capacity-building, and access to and transfer of environmentally sound technologies to support sustainable forest management;
- (g) Financial resources;
- (h) International trade and sustainable forest management;
- (i) Forest-related scientific research;
- (j) Traditional forest-related knowledge;

(k) Forest-related work of institutions and instruments.

16. In addition, there are examples of elements that were touched upon in the IPF and IFF processes but were not included as a specific programme element in the two processes, which could be considered:

- (a) Vital role of all types of forests and transboundary dimensions;
- (b) Concepts, terminology and definitions;
- (c) International policy development and priority setting for action.

17. Thus, based on the current international forest policy dialogue, the term "element" may be defined as follows:

"Elements are the principal components of the international agenda for action on forests, derived primarily from the Forest Principles, Agenda 21, the IPF's proposals for action and the IFF programme of work".

18. In view of the ongoing discussions and emerging consensus in other programme elements, the descriptions set out below should only be viewed as a preliminary introduction. The descriptions are not intended to be a basis for negotiations but only to provide a sense of what the nature of the proposed elements are.

National forest programmes

19. IPF, in its final report, encouraged countries, in accordance with their national sovereignty, specific country conditions and national legislation, to develop, implement, monitor and evaluate national forest programmes which include a wide range of approaches towards sustainable forest management. National forest programmes can provide the basis for action at the national level as well as for international cooperation.

20. The IPF consensus on the basic principles of national forest programmes applicable to all countries and all types of forests constitutes one of its most significant achievements. The concept of national forest programmes, as defined by IPF, has subsequently been endorsed by the Commission on Sustainable Development and the General Assembly at its nineteenth special session, as well as by professional forums, including the Eleventh World Forestry Congress.

Forest conservation, unique types of forests and protected areas

21. Protected areas of representative and unique forests can provide valuable baselines to assess the impact of human interventions on forest ecosystems. National, regional and global networks of protected forest areas have been recognized as an integral part of the management, conservation and sustainable development of all types of forests. All regional processes engaged in developing criteria and indicators for sustainable forest management include the protection of representative and unique forests as a criterion. A national strategy to establish a network of protected forest areas need to be addressed in national forest policies and programmes.

Combating deforestation and forest degradation

22. There is worldwide concern at the continuing alarming rates of deforestation as well as the continued degradation of forests. Negative consequences of deforestation and forest degradation include loss of environmental, economic, social and cultural benefits from forests. IPF and IFF deliberations have recognized that the underlying causes of deforestation and forest degradation are complex and frequently associated with human activities outside the forest sector. International cooperation is essential to reverse current trends.

Rehabilitation and restoration of degraded forest land, and the role of planted forests

23. Historical as well as more recent overexploitation of forest and wooded lands and lack of adequate protection and management have resulted in the degradation of several hundred million hectares of fragile forest lands. There is a need to undertake action and international cooperation to restore the productive capacity and biological diversity of these lands, as well as to expand the forest cover to meet diverse needs now and in the future. This element is particularly critical to meet the subsistence needs of rural populations and alleviate poverty in developing countries with low forest cover. It has been recognized that planted forests can play an important role in addressing the problems of degraded lands, as well as alleviating some of the pressures on natural forests for supplying forest products and services.

Monitoring, assessment and reporting

24. It is widely recognized that there is a need to improve periodic and systematic collection of data on forests and on the forest sector; facilitate access to information at all geographical levels; and coordinate the information flow by

strengthening the linkage between information providers and information users. In particular, there is a need to encourage access to and generate timely and reliable information for the formulation, implementation and assessment of forest policy, as well as to provide accurate data on the supply and demand of forest products and services.

25. In its final report, IPF emphasized that national inventories are an important basis for effective formulation of national forest programmes, and that assessment of the actual and potential conditions of all types of forests is central to sustainable forest management and a wide range of other considerations related to forests and forest ecosystems at the local, national, regional and global levels.

26. Periodic reporting on the state of forests and of experiences with and on progress in achieving sustainable forest management, would be an extremely important activity to promote sustainable forest management. There are, in some cases, reporting mechanisms at the national, regional and global levels which already request data on a range of specific parameters. The main activities of these mechanisms are outlined in the report of the Secretary-General on programme element I.b (E/CN.17/IFF/1999/3). Streamlining of existing reporting requirements and coordination among organizations and instruments that request information could considerably ease some of the burdens on national institutions.

International cooperation in capacity-building and access to and transfer of environmentally sound technologies to support sustainable forest management.

27. International cooperation for capacity-building is considered to be a critical activity to assist developing countries in the implementation of sustainable forest management, and includes such activities as education and training, and institutional capacity, including management training. Key constraints include inadequate availability of financial resources, retention of trained staff, as well as lack of access to technologies and equipment.

28. The IPF and IFF deliberations on technology transfer have focused on the economic, social and environmental appropriateness of transferred technologies, and how to enhance North-South and South-South cooperation. Improved access to and use as well as dissemination of technologies can greatly enhance progress towards sustainable forest management through more efficient resource use in harvesting and forest product manufacturing. The establishment of partnerships, networks and cooperation

mechanisms among interested parties has also been stressed in the IPF and IFF processes.

Financial resources

29. The financing of forest-related activities involves complex arrangements. In countries with commercially attractive forests and/or a forest industry, well targeted capacity-building may be enough to achieve progress towards sustainable forest management. Other countries, unable to attract private financing, such as countries with low forest cover, would need financial assistance that goes beyond mere building of capacity, for example for rehabilitation, afforestation and reforestation, as well as building up of capacity, such as, infrastructures. The discussions in IPF and IFF have been focused on the possibilities of raising new and additional funds and to identify an appropriate mix of financing mechanisms to support sustainable forest management. Discussions around financial resources in IPF and IFF have also included such issues as effective private sector involvement; integration with national policies and priorities and effective coordination; the application of economic instruments and tax policies; the mobilization of national financial resources; and the possibility of finding a mechanism to raise funds to establish a "forest fund" dedicated to support activities aimed at sustainable forest management.

International trade and sustainable forest management

30. The IPF and IFF deliberations have emphasized the mutually supportive roles of international trade and sustainable forest management. While IPF and IFF were not designed as forums for trade negotiations, some very important issues concerning the interface between trade in forest products and sustainable forest management have been analysed and clarified. In this context, important issues deliberated by IPF and IFF include non-discriminatory international trade in forest products from all types of forests; the role of tariff and non-tariff barriers in relation to the promotion of sustainable forest management; improved market access and market transparency; promotion of the use of and trade in lesser-known species; the relative competitiveness and environmental impact of wood versus substitutes in international trade; and illegal international trade in both wood and non-wood forest products. Related issues include the characterization of sustainable forest management in relation with certification and its effect on international trade in forest products and services. Other related issues which have not been exclusive to the discussions under international trade and sustainable forest

management are valuation of forest products and services, and supply and demand of forest products and services.

Forest-related scientific research

31. The management, conservation and sustainable development of all types of forests to meet a wide range of demands must be based on a good understanding of the structure and function of forest ecosystems, and the impact of human activities on forests. Strengthening of human and institutional capacity to develop and apply science and technology, through research and development, would be a crucial component of the international priority agenda for action on forests. Other priority areas under consideration by IFF include an international priority-setting mechanism for research, and increased funding to enhance the effectiveness of available research capacity.

Traditional forest-related knowledge

32. Indigenous people and local communities in many parts of the world depend on forests for their subsistence and economic and social survival. These forest-dependent people have long-term experience and knowledge of the utilization of the forests they live in or close by. IPF recognized the potential contribution of such knowledge to meet the objectives of sustainable forest management. This rich source of knowledge, considered valuable in terms of numerous wood and non-wood products as well as management approaches is associated with concerns of protection, benefit-sharing and intellectual property rights.

Forest-related work of institutions and instruments

33. IPF and IFF have undertaken in-depth analyses of forest-related work of various organizations and instruments. In order to implement an effective, integrated and holistic approach to the management, conservation and sustainable development of all types of forests, there is a need to coordinate policy deliberations on forest-related issues in various multilateral organizations as well as various instruments. There is also a need to coordinate forest-related policy advice and analysis, as well as the operational activities of various multilateral institutions, international organizations and instruments.

Vital role of all types of forests, and transboundary dimensions

34. The role of forests in providing a wide range of benefits and services, some of which extend far beyond the countries where the forests are located, has received

increased attention, particularly during the past three decades. Some of these benefits may extend to the transboundary level (e.g., forests as habitats for migratory species; watershed forests of international rivers and lakes) and to the regional and global levels (carbon sequestration; biological diversity; hydrological and other ecological cycles). Recognition of this broader role of forests has been one of the most significant developments in forest policy deliberations at the national, regional and global levels. There is a need to strengthen the mutually supportive roles of national forest policy with regional and global forest policy considerations, as well as with a number of other forums. There is also a need to address transboundary and regional issues, such as forest fires, insects and diseases, and to manage airborne pollutants and other emissions that are associated with forest decline in many regions in the world.

Concepts, terminology and definitions

35. The IPF process has noted the significance of the coordination and comparability of concepts, terminology and definitions to enhance inter-agency cooperation and the synergy between various instruments that contain forest-related elements, as well as for the effective use of limited resources for forest assessment and international cooperation. Problems associated with lack of coordination and comparability of concepts, terminology and definitions have been identified in such areas as forest assessment; low forest cover; supply and demand; financial resources data; carbon sequestration; criteria and indicators etc. The Panel requested the Food and Agriculture Organization of the United Nations, *inter alia*, in consultation with countries and relevant international organizations and in an open and transparent manner, to formulate an internationally acceptable set of definitions of key terms used in the assessment of all types of forests and their resources, and to promote their adoption.

International policy development and priority setting for action

36. Policy development and priority-setting for action, as well as periodic review and assessment of progress towards the management, conservation and sustainable development of all types of forest, could have the following functions at the international level:

(a) Develop, guide, promote and formulate policy action on the management, conservation and sustainable development of all types of forests, at the national, regional and global levels, as appropriate;

(b) Develop and set priorities for action, and address emerging issues;

(c) Set priorities and coordinate forest-related work of international organizations and instruments;

(d) Support and identify needs for international cooperation towards the management, conservation and sustainable development of all types of forests;

(e) Review, assess and report on progress towards sustainable forest management and on the state of the world's forests;

(f) Provide a forum for interested parties to exchange experiences, discuss concerns, and provide solutions for achieving sustainable forest management;

(g) Facilitate efficient coordination and comparability of concepts, terminology and definitions.

VI. Costa Rica-Canada initiative

37. The first meeting of experts of the Costa Rica-Canada initiative (see E/CN.17/IFF/1999/18), convened in support of IFF programme element III, was held at San José, Costa Rica, from 22–26 February 1999. This meeting was attended by 87 experts from different countries, intergovernmental institutions, non-governmental organizations, indigenous people, women's groups and invited speakers, reflecting a wide range of interests and views. The meeting was the first stage of the initiative. The subsequent stage will be the holding of a series of regional and subregional meetings, in which the elements and possible benefits of international arrangements and mechanisms, such as a legally binding instrument for all types of forests, will be analysed from the regional perspective. The initiative will culminate in a final meeting to be held in Canada at the end of 1999 to consolidate the results of both the first meeting in Costa Rica and the regional and subregional meetings.

38. The meeting was given the task of making suggestions for the regional and subregional meetings, through applying the first steps of a proposed approach to identify a set of international forest issues, analyse the level of treatment of these issues in existing legally binding and non-legally binding instruments, and identify those issues that could potentially be advanced as elements through international arrangements and mechanisms, whether legally binding or non-legally binding. The regional and subregional meetings would, in addition, consider what range of options would be available for addressing the issues that could be advanced

at the international level, and assess the pros and cons of those options.

39. The first meeting provided valuable guidance to the regional and subregional meetings in the form of several suggestions for improving the effectiveness of the proposed approach, mainly suggesting that certain clarifications of terms and criteria for the assessment would be needed in order for participants to have a common understanding and to make the results of the meetings comparable to the largest extent possible. The experts identified a set of approximately 70 issues. There was an understanding among the participants that the exercise, at this stage, aimed to capture the range of views rather than reach a consensus. The full details of the first meeting of the Costa Rica-Canada initiative are contained in a report to be made available at the third session of IFF.

VII. Preliminary conclusions, proposals for action and preparations for the fourth session of the Intergovernmental Forum on Forests

Preliminary conclusions

40. The international priority agenda on forests should be holistic, comprehensive and inclusive of the areas of priority concerns of both countries with rich and countries with scarce forest resources, and should contain at least the basic elements agreed at the Forum's third session. International arrangements and mechanisms after the year 2000 must be based on the Forest Principles and Agenda 21, integrate the consensus reached by IPF and IFF, and take into consideration deliberations on forest-related elements in other intergovernmental forums.

Preliminary proposals for action

41. The Forum may wish to consider the following proposed list of possible elements as a basis for its discussions, and to identify a set of elements that collectively would constitute an international priority agenda to promote the management, conservation and sustainable development of all types of forests:

(a) National forest programmes;

(b) Forest conservation, unique types of forests and protected areas;

(c) Combating deforestation and forest degradation;

- (d) Rehabilitation and restoration of degraded forest lands, and the role of planted forests;
- (e) Monitoring, assessment and reporting;
- (f) International cooperation in capacity-building and access to and transfer of environmentally sound technologies to support sustainable forest management;
- (g) Financial resources;
- (h) International trade and sustainable forest management;
- (i) Forest-related scientific research;
- (j) Traditional forest-related knowledge;
- (k) Forest-related work of institutions and instruments;
- (l) Vital role of all types of forests and transboundary dimensions;
- (m) Concepts, terminology and definitions;
- (n) International policy development and priority-setting for action.

Preparations for the fourth session

42. Based on the results and guidance received from the third session of the Forum, the IFF secretariat will prepare a report on programme element III which could contain:

- (a) A brief description of the results of the discussion at the third session of the Forum, including a list of possible elements of international arrangements and mechanisms;
 - (b) The relevant results of substantive discussions on other categories of the IFF programme of work, as well as results of government-led initiatives held in support of IFF;
 - (c) Options for further action on new arrangements and mechanisms or a legally binding instrument on all types of forests.
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Letter dated 2 February 1999 from the Permanent Representatives of Austria and Indonesia to the United Nations addressed to the Secretary-General

We have the honour to transmit herewith the text of the report on the International Consultation on Research and Information Systems in Forestry,* which was an Austrian-Indonesian initiative in support of the programme of work of the Intergovernmental Forum on Forests (see annex). These expert consultations were held at Gmunden, Austria, from 7 to 10 September 1998.

We would highly appreciate it if you would arrange for the present letter and the enclosed report to be circulated as an official document of the third session of the Intergovernmental Forum on Forests, to be held at Geneva from 3 to 14 May 1999.

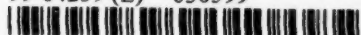
(Signed) Ernst Sucharipa
Ambassador

Permanent Representative of Austria to the United Nations

(Signed) Makarim Wibisono
Ambassador

Permanent Representative of Indonesia to the United Nations

* The report is attached in the language of submission.



Annex

**International Consultation on Research and Information Systems in Forestry
7 – 10 September 1998, Gmunden, Austria**

EXECUTIVE SUMMARY

1. BACKGROUND FOR THE CONSULTATION:

At its final session, the Intergovernmental Panel on Forests (IPF) recognized the need (1) *"to strengthen research, which was relevant to all the programme elements of its programme of work"*; (2) *"for a more comprehensive and focused approach, including support to regional research networks"*; and (3) for *"enhanced international efforts for more focused and effective funding and coordination of forest-related research and development"* (E/CN.17/1997/12). The Intergovernmental Forum on Forests (IFF), established to continue the policy dialogue on forests, further elaborated on forest research issues.

Against this background the International Consultation on Research and Information Systems in Forestry (ICRIS) was organized as an inter-sessional activity in support of the IFF under the sponsorship of the Governments of Austria and Indonesia and in collaboration with CIFOR, FAO and IUFRO. The overall objective of ICRIS was to examine ways and means to implement research support and provide background information for international forestry initiatives. The Consultation addressed the critical theme of the interface between research and the user community, with particular reference to policy formulation. The recommendations for follow-up action from the Consultation are summarized below.

2. RECOMMENDATIONS (summarized from the full report):

Taking into account the deliberations and discussions during the Consultation and considering the importance of strengthening the scientific basis for the sustainable management of forests, the Consultation recommends that **the Intergovernmental Forum on Forests:**

- (i) **REAFFIRMS** the value of building science capacity in all countries and **URGES** Governments to significantly increase national, regional and international efforts to strengthen forest research through (a) formulating relevant policies and strategies and (b) facilitating the development of appropriate institutions that will conduct, co-ordinate and lead research on priority areas relevant to sustainable management of forests with the active participation of all stakeholders including the poor and marginalized.
- (ii) **CONSIDERS** the desirability of establishing a global forum or other appropriate body (for example a consultative body) to bring together policy-makers, funding agencies, forest research agencies, scientists and other stakeholders to provide guidance and direction to forest science initiatives and to strengthen policy-science linkages, particularly for intergovernmental forest policy initiatives such as IFF.

- (iii) **ENDORSES AND PROMOTES** the development of a **Global Forest Information Service** to enhance access to all forest-related information, ensuring that it is accessible to all stakeholders including policy-makers, forest managers, non-governmental organizations (NGOs), community groups and the public at large.
- (iv) **ENCOURAGES** governments to strengthen regional and global efforts focused on national research capacity building and strengthen research networks to "fast-track" capacity development as well as to provide windows of opportunities for inter-country/ inter-institutional collaboration in forest research.
- (v) **INCLUDES** forest research as one of the elements of any future international arrangements or mechanisms - for example, a legally binding instrument - to recognize the importance of and to facilitate a continued knowledge generation through forest research to improve the management, conservation and sustainable development of all types of forests and those who depend on them.

**Report on the
International Consultation on
Research and Information Systems in Forestry
7 – 10 September 1998, Gmunden, Austria**

"...there is no other basis for sound political decisions than the best available scientific evidence. This is especially true in the fields of resource management and environmental protection."

Gro Harlem Brundtland, Science 77:457 (1997)

1. BACKGROUND FOR THE CONSULTATION:

At its fourth and final session, the Intergovernmental Panel on Forests (IPF) "requested the Centre for International Forestry Research, in collaboration with relevant organizations and in consultation with a group of internationally recognized experts, as well as in conjunction with national, regional, intergovernmental and non-governmental bodies, to develop as soon as possible mechanisms to:

- (i) *Guide the identification and definition as well as prioritization of global and eco-regional interdisciplinary research problems, taking into account national priorities and closely linked to practical and operational forest management issues;*
- (ii) *Promote consortia or networks to lead and organize global forest research and ensure that results are made available to all users;*
- (iii) *Build global capacity for forest research and develop new and innovative means for disseminating information and technologies;*
- (iv) *Mobilize resources to accomplish the above objectives (E/CN.17/1997/12)."*

The Intergovernmental Forum on Forests (IFF), established to continue the policy dialogue on forests, further elaborated some of the issues relating to research support for forestry during its second session held during 24 August to 4 September, 1998 in Geneva. Among other issues, IFF2 drew specific attention to the following:

- the need for improved coordination that could be provided by networks for global forest-related research;
- assessment of existing research networks and their potential;
- the need for more institutionalized research on various aspects relating to all types of forests, including unique types of forests both in forested countries as well as in low forest cover countries;
- improved allocation of funds for priority research areas including support for research activities in developing countries; and
- adequate use of scientific and traditional knowledge to support sustainable management of forests.

IFF2 also stressed the need for targeted policy relevant research to support practitioners at the field level and requested the Secretariat to examine and provide proposals on institutions that could act as focal points for undertaking a systematic review of globally relevant ongoing research on forests and could guide a prioritization process to improve the information exchange between policy makers, forest practitioners and scientists.

Against this background the International Consultation on Research and Information Systems in Forestry (ICRIS) was organized as a government led initiative in support of the IFF under the sponsorship of the Governments of Austria and Indonesia and with the cooperation of the Center for International Forestry Research (CIFOR), Food and Agriculture Organization of the United Nations (FAO) and the International Union of Forestry Research Organizations (IUFRO). The overall objective of ICRIS was to examine ways and means to implement research support and provide background information for international forestry initiatives. The Consultation addressed the critical theme of the interface between research and the user community, with particular reference to policy formulation and emerging issues worldwide.

The Consultation was attended by 80 participants. In addition to the presentation of a keynote paper on research contribution to policy formulation, theme papers on (a) research prioritization, (b) global and regional research networks, (c) research capacity building, (d) funding and (e) information technology were presented and discussed. The group discussions dealt with cross-cutting issues that are of direct relevance to the policy processes at the national and international levels, namely (i) increasing emphasis on environmental and biodiversity values of forests, (ii) diversification and involvement of stakeholders, (iii) role of transnational and private investment in forest research, (iv) development in the frontier areas of science and (v) meeting the technology needs of the poor and marginalized people. Important conclusions emerging from the Consultation and the recommendations for follow-up action are summarized below.

2. CONCLUSIONS:

New challenges are confronting the managers of the world's forests, with stakeholders demanding a broader range of goods and services as well as a voice in setting priorities on the use of forests. Management is becoming more sophisticated and adaptive, seeking to achieve balance among multiple products and services. Good science has a vital role in generating new information that can provide input to the international dialogue on forests through the provision of synthesis of existing information and knowledge; the generation of new policy-relevant information in identified priority areas; and the input of expert technical advice as requested by IFF and other international bodies. The Consultation discussed the keynote paper and theme papers in the context of the emerging issues. The conclusions, general and theme-specific, are indicated below:

2.1. General Conclusions:

- Meeting the diverse needs of the large number of forestry stakeholders and in particular enhancing the role of forests in poverty alleviation, and protecting and enhancing the biodiversity and other environmental values of forests require substantial efforts to strengthen the knowledge generation process at all levels. The science inputs for forest policy processes can help effectively and primarily address these issues.
- Policies and actions covering the global, regional and national levels, aimed at strengthening sustainable management of forests, require a more integrated and holistic knowledge base than is currently available. Balanced research programmes can help protect the interests of all including those without an effective lobbying voice, i.e. the poor.
- Global and regional problems, such as deforestation, declining environmental quality and reduction in biodiversity require local solutions based on integrated approaches that take full advantage of local/indigenous knowledge strengthened through application of developments in frontier areas of science.
- Many investments in research yield high rates of return in the long term and can have significant multiplier effects. Furthermore, many forestry programmes and projects without research components have failed to produce the desired results because of inadequate understanding of the underlying scientific principles.

2.2. Linkage Between Research and Policy Formulation:

Relevant and credible information about complex systems is increasingly essential to forest policy decisions and such information covering both natural and human sciences, is an essential ingredient in policy deliberations in a world where forest management is the focus of intense national and international debate. This is especially relevant in a world where an increasing dialogue exists over forest policies between civil society, governments and international organizations. The provision of unbiased and objective information to all stakeholders is an important step in the empowerment process. As a result, the Consultation noted that:

- Research is critical in unraveling the complex interrelations between natural and social systems and thus in contributing to knowledge-based policies and actions at national, regional and global levels.
- The institutional arrangements and strategies for conducting forest research and achieving policy and practice innovations are changing rapidly, accelerated through the developments in information and communication technologies.
- Successful research and development, based on systematic interaction between users of research results and researchers delivers effective solutions, which are more closely fitted to user needs.

- Institutional changes to facilitate successful research and development have been rather slow and inadequate to meet the emerging challenges facing sustainable forest management.

2.3. Research Prioritization:

The Consultation considered different mechanisms for research prioritization and noted that:

- With a few notable exceptions (i.e. CIFOR, European Forestry Institute (EFI)), there is a lack of engagement between those who use information at a global scale and the producers of research information at the national level which results in a system where information is often fragmented and not readily integrated.
- Priority-setting mechanisms at the regional and national levels are often weak or nonexistent. And even where they exist, priority-setting mechanisms are often controlled by those with little or no knowledge of forest-related sciences and policy relevance.
- As a consequence research has not been able to effectively respond to the demands from all the diverse stakeholders and has been unable to incorporate the concerns of the poor and marginalized people and research agendas have been primarily supply driven.

2.4. Global and Regional Research Networks:

Global and regional research networks offer immense potential for dealing with common ecoregional problems and to "fast track" research capacity building in countries where such capacity is inadequate. In particular, such networks and consortia help to develop critical mass of, and attractive research careers for, researchers in areas where research capacity is inadequate. The Consultation noted that:

- Networking is an important option for many countries and institutions to overcome resource constraints and to enable the transfer and adaptation of technology found appropriate elsewhere.
- Networking becomes meaningful and effective only if it can "add value" to individual efforts or promote synergistic effects among network participants. However, the potential of networks to help build research capacity, especially in developing countries has been largely unrealized mainly due to lack of a well-defined strategy that takes into account the costs and benefits of networking. For nearly all forest research networks, information exchange continues to be the main activity.
- Most networking is among researchers with the same disciplinary backgrounds and narrow specialization, whereas problem-solving research requires involvement of

stakeholders and researchers with diverse backgrounds in collaborative research networks.

2.5. Capacity Building for Forest Research:

The Consultation reviewed the ongoing efforts at research capacity building and the issues relating to research capacity enhancement focusing particularly on the needs of developing countries and poor and marginalized peoples and noted the following:

- Enhancing efforts in forest research capacity building are fundamental for achieving sustainable development and conservation of forests. Capacity building is needed to assist in the transfer of results and technologies to enhance the use of available knowledge, to improve networking and to facilitate science-based decision making at all levels. Capacity building is especially important in developing individual researchers to encourage worthwhile careers in science.
- Research and technology development capacities of most developing countries are highly underdeveloped and they are unable to participate in the process of knowledge generation as equal partners. The gap between the developed and developing countries with regard to science and technology is widening, accentuating the existing disparities.
- More than the narrow technical aspects of research, it is important to consider the policy context and institutional changes as well as how research organizations can address these emerging issues and adapt themselves to the ever-changing conditions.
- In general most capacity building support provided by official development assistance is project oriented, short term and input-focused, whereas meaningful capacity enhancement requires more consistent, flexible and output oriented long term support.
- Capacity development when dealing with holistic global problems is not a problem confined to developing countries but is equally relevant to all countries.

2.6. Changing Patterns of Research Funding:

The Consultation dealt with various issues relating to mobilization of funds for forest research and examined ways and means for making forest research more client-oriented and responsive to "market signals". It was noted that a fundable research programme must respond to the policy agenda and that it is necessary to replace the supply driven research by genuine demand driven efforts. The Consultation noted that:

- Funding for forest research at the international and national levels remains far from adequate. While there is growing investment by the private sector in research that leads to increased revenue generation, there is an urgent need for enhanced investment to facilitate knowledge generation and also to meet the technology needs of the poor and marginalized people, small farmers and such other groups who are unable to pay for innovation.
- Low levels of funding are partly due to the failure of research institutions and scientists to demonstrate to stakeholders the benefits from research. Much of the research is still not driven by the needs of the intended users and beneficiaries.
- Greater resources are needed not for pursuing more-of-the-same research, but for change towards new agendas and alliances and resource allocation has to be based on ex-ante impact assessment of research.
- Sources of funding for conservation and development of forests have diversified. The public sector plays a diminishing role, while the roles of the private and non-governmental sectors are growing rapidly. These changes have yet to be reflected in private sector forest research investments.

2.7. Better Access to Information on Forests:

Based on the paper presented by the IUFRO acting Task Force on information detailing the establishment of a Global Forest Information Service (GFIS), the Consultation examined issues associated with access to information by different users, in particular those who are not linked to global information systems, stakeholder involvement in developing data bases, political and legal aspects including intellectual property rights, and mechanisms for standardization and quality control. In particular the Consultation:

- Emphasized the urgent need to improve access to information at all levels and coordinate the information flow by strengthening the linkage between information providers and information users. Particular efforts should be made to ensure that disparities in access to information are not accentuated, undermining the opportunities for effective participation of developing country scientists in knowledge generation and exchange;
- Endorsed the proposal to develop a Global Forest Information System as a meta database ensuring that political and legal issues are taken into account and efforts

are made to ensure quality control through appropriate mechanisms. In this context, the consultation took note of the recommendation of IFF2 concerning the need for co-operation leading towards a comprehensive directory of forest-related international and regional organizations and instruments engaged in forest-related international activities (IFF2 Programme element II.e, Item 12c);

- Stressed the need to improve access to information to all stakeholders, in particular to the poor and marginalized people, to enable their effective participation in forest resource management;
- Recognised that forest research capacity is unevenly distributed between and within countries and that major gains could be achieved by improved information exchange at national, regional and global levels. Particular effort should be made to ensure that the information is presented in forms that are appropriate to the users – policy makers, professionals and the public.

3. RECOMMENDATIONS:

Taking into account the deliberations and discussions during the Consultation and considering the importance of strengthening the scientific basis for the sustainable management of forests, the Consultation recommends that the Intergovernmental Forum on Forests:

(i) **REAFFIRMS** the value of building science capacity in all countries and **URGES** Governments to significantly increase national, regional and international efforts to strengthen forest research through (a) formulating relevant policies and strategies and (b) facilitating the development of appropriate institutions that will conduct, co-ordinate and lead research on priority areas relevant to sustainable management of forests with the active participation of all stakeholders including the poor and marginalized. Special attention should be given to encouraging cross-sectoral co-operation as well as promoting the dialogue between the users and beneficiaries of scientific activities and the research community.

(ii) **CONSIDERS** the desirability of establishing a global forum or other appropriate body (for example a consultative body) to bring together policy-makers, funding agencies, forest research agencies, scientists and other stakeholders to provide guidance and direction to forest science initiatives and to strengthen policy-science linkages, particularly in the context of intergovernmental forest policy initiatives like IFF. The possible functions of such a body might include:

- identifying possible science elements in international instruments on forests;
- synthesizing currently available knowledge to strengthen policy decisions;
- encouraging and supporting the development of research capacity development at the national, regional and global levels, in accordance with the relevant policies (national, regional or global) relating to forest and allied sectors;

- strengthening linkage with other allied international bodies (e.g.: SBSTTA of the CBD, IPCC of UNEP, SBSTA of the FCCC¹) to avoid duplication of efforts and to strengthen the synergy of global efforts; and
- mobilizing and channeling resources to strengthen research at all levels and in particular to address critical policy issues.

(iii) **ENDORSES AND PROMOTES** the development of a **Global Forest Information Service** to enhance access to all forest-related information, ensuring that it is accessible to all stakeholders including policy-makers, forest managers, non-governmental organizations (NGOs), community groups and the public at large.

(iv) **ENCOURAGES** the governments to strengthen regional and global efforts focused on national research capacity building and strengthen research networks to "fast-track" capacity development as well as to provide windows of opportunities for inter-country/ inter-institutional collaboration in forest research.

(v) **INCLUDES** forest research as one of the elements of any future international arrangements or mechanisms - for example, a legally binding instrument – to recognize the importance of and to facilitate a continued knowledge generation through forest research to improve the management, conservation and sustainable development of all types of forests and those who depend on them.

4. **EXPECTED OUTPUTS:**

Implementation of the above recommendations is expected to contribute to the following outputs that are critical to the sustainable management of forests in all countries:

- **Improved linkage between forest science, forest policy processes, and decision-making** at the national and international levels;
- **Enhanced participation of all countries in the generation of knowledge** relevant to current and emerging societal needs and in particular to meet the needs of the poor and marginalised people;
- **Improved and transparent access to information** relating to forests and forestry to all stakeholders with particular attention being given to reduce disparities arising from the uneven spread of technologies.

¹ Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) of the Convention on Biological Diversity (CBD), Intergovernmental Panel on Climate Change (IPCC) of the United Nations Environment Programme (UNEP), and the Subsidiary Body for Scientific and Technological Advice (SBSTA) of the Framework Convention on Climate Change (FCCC).

5. FOLLOW-UP:

The cadre of international forest scientists commit themselves to implementing as many of these recommendations as they can within the constraints of existing resources and through their own voluntary organizations. To this end, IUFRO agrees to:

- **Establish** Task Forces on the **Forest Science-Policy Interface** and on the **Global Forest Information Service** (GFIS) with representation from a range of research organizations, countries as well as stakeholders, including NGOs involved in relevant research activities;
- **Strengthen** the ongoing efforts of existing task forces² to enhance science inputs to the policy dialogue;
- **Organize** satellite meetings in collaboration with CIFOR, EFI, FAO and other interested organizations during the third and fourth sessions of the IFF as an ICRIS follow-up activity in support of the IFF dialogue.
- **Undertake** a synthesis of the state of the-art in forest related sciences by encouraging all IUFRO research groups and working parties to develop "State-of-the-Art Reports" for discussion during its World Congress 2000 in Kuala Lumpur, Malaysia.

² Existing IUFRO Task Forces are Environmental Change, Forests in Sustainable Mountain Development, Internet Resources, Management and Conservation of Forest Gene Resources, Sustainable Forest Management, and Water and Forests.



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Intergovernmental Forum on Forests
Third session
Geneva, 4–13 May 1999

Letter dated 16 February 1999 from the Permanent Representative of Costa Rica to the United Nations addressed to the Secretary-General

I have the honour to transmit to you the final report of the Global Workshop on Addressing the Underlying Causes of Deforestation and Forest Degradation, held in Costa Rica from 18 to 22 January 1999 (see annex).*

In this regard, I request you to have this report issued as a document of the third session of the Intergovernmental Forum on Forests, to be held at Geneva from 3 to 14 May 1999.

(Signed) Bernd Niehaus
Ambassador, Permanent Representative

* The report of the Workshop is being circulated in the languages of submission.



Annex

[Original: English, French and Spanish]

**ADDRESSING THE UNDERLYING CAUSES
OF DEFORESTATION
AND FOREST DEGRADATION**

**A joint initiative of Governments, Indigenous Peoples'
Organizations, NGOs, Afro-american and other community-
based organizations and Intergovernmental Organizations,
to contribute to the Intergovernmental Forum on Forests**

**Report of the Global Workshop
San José, 18 - 22 January 1999**

This report of the Global Workshop on Underlying Causes of Deforestation and Forest Degradation is the outcome of an extensive participatory process - a process which, in accordance with the IPF diagnostic framework, was founded upon more than 40 case studies and numerous additional submissions from all over the world. In all, one global, seven regional and one indigenous peoples workshop were held. A diverse group of participants from government, international and non-governmental organizations, local communities, Indigenous Peoples, academia, trade unions and the private sector joined hands in an effort to formulate concrete actions that can halt alarming trends of global forest loss. The process aimed to deliver to the international community solution-oriented approaches and concrete actions that can arrest current trends of deforestation and forest degradation. We are happy to present you with the outcomes of this process and would like to thank all of you who have contributed to it.

The Global Workshop, held from January 18-22 in San José was hosted by the Government of Costa Rica and organized by an Organizing Committee composed of UNEP, governments, and NGOs. The workshop has been successful in formulating a wide range of innovative actions. In addition, the workshop has uncovered underlying causes that are not part of the deliberations in the Intergovernmental Forum on Forests. Underlying causes of deforestation and forest degradation, be it in tropical moist forests or the temperate boreal forests, often lie outside of the forest sector. Therefore, you will note that many of the proposed actions are aimed at actors both within and outside this sector. It must also be noted that several of the recommendations from the workshop are similar to those proposed in other fora, in particular, the IPF Proposals for Action. The repetition of these actions highlights the fact that governments lack commitment to these proposals and enforce existing laws.

A number of key points clearly emerge from the actions formulated by the San José workshop. Full participation of local communities and other stakeholders in decision-making over management of natural resources at the national and international level is required if we intend to break the vicious cycle we are in. Also, forests are more than just stands of timber. Forests provide valuable services, for example biodiversity, water, and spiritual meaning to individuals, communities, and society as a whole. These lessons seem to be absent in the current deliberations at the IFF and we urge the Forum to include them in the future.

Finally, from our participation in this process we have learned an important lesson: that a participatory process such as this carried forward by collaboration between governments, international organizations, and NGOs, can significantly advance the international agenda. We look forward to working jointly on other initiatives of this nature.

On behalf of the organizers, we thank you for being part of this initiative.

Trade and Consumption

Changing Unsustainable Consumption and Production Patterns

Objective: Change unsustainable patterns of consumption and production of both forest products and other products that impact forests and to steer trade to an economically, environmentally and socially sustainable path.

Actions

1. Increase education and awareness (both formal and informal) about the full life-cycle and impacts of production, consumption and trade of forest products and those other products that impact forests, by:
 - devoting resources to education and awareness-building;
 - incorporating education and awareness-building into curricula and conducting research on changing patterns;
 - identifying initiatives and lifestyles that reduce consumption and its impacts;
 - developing a consumers' guide and developing consumers' networks;
 - expanding training for environmental education; and
 - improving consumer information with labeling.

Actors: Governments, industry, academic institutions, NGOs, consumer's organizations.

2. Develop, implement and enforce integrated and holistic national policies to change consumption and production patterns, with full transparency and civil participation, by:
 - incorporating the concept of ecosystem services;
 - elaborating the work program on consumption and production of the UN Commission on Sustainable Development in the field of forest products and other products which impact upon forests;
 - collecting information and reporting to the IFF on innovative government policies aimed at changing consumption, production and trade of all products that affect forests.

Actors: IFF, CBD, governments, NGOs.

3. Shift penalties and incentives (subsidies, taxes, sector promotion, etc.) from promoting unsustainable consumption and production patterns to promoting sustainable consumption and production patterns and trade. **Actors:** governments, bilateral and multilateral donors.

4. Develop concrete policies to address over-consumption of imported goods (luxuries and weapons, etc.), as a macro-economic policy to address trade imbalances. **Actors:** Governments, multilateral development banks, the IMF.

5. Reduce advertising that promotes unsustainable lifestyles and consumption, and reduce paper consumption of the advertising industry by 75%. **Actors:** Business, government, NGOs in partnership.

6. Improve data collection and dissemination on the production, consumption and trade in forest products and products that impact forests, *inter alia* by strengthening independent initiatives (such as Global Forest Watch) to monitor the status of forests and pressure on forests. **Actors:** FAO, governments, NGOs, academia.

Voluntary Regulation

Objective: Promote Sustainable Forest Management (SFM) through independent third party certification of timber and other products.

Actions

1. Support independent third-party certification schemes of forest products, which have adequate multi-stakeholder involvement at the sub-national, national and international level, by:
 - providing incentives, and
 - raising awareness and the demand for certified products.

Actors: Governments, NGOs, industry.

2. Develop and implement certification schemes of non-forest products (such as forest product substitutes, agricultural products, oil and minerals). **Actors:** Industry, government and all producers of non-forest products that impact forests.

The Imbalance of International Trade and Sustainable Development Regimes

Objective: Change the fundamental philosophy and framework of international trade agreements (WTO, GATT, MAI) so that they promote rather than inhibit sustainable development objectives and to eliminate the supremacy of trade agreements over other agreements. Increase the legal enforceability of human rights' and environmental agreements at national and international levels and to balance vested interests (governments and industry) with the interests of other parts of civil society in international negotiations, especially those on trade.

Actions

1. Recommend that the February 1999 UNCTAD/ITTO meeting to discuss the relationship between the international trade regime and environmental and human rights' conventions. **Actors:** Governments, NGOs.
2. Include a discussion on the imbalance between trade and sustainable development regimes in the agenda of IFF3 and IFF 4 and organize an intersessional on this specific issue between IFF 3 and IFF 4. **Actors:** IFF.
3. Not to establish an International Negotiating Commission on a legally binding instrument on forests until progress has been made to redress the imbalance between trade and other international agreements. **Actors:** IFF.
4. Establish a dialogue between NGOs, industry and other stakeholders on the need to address the imbalance between trade and sustainable development regimes, *inter alia* by:
 - establishing national fora, which involve government, trade, environment and forestry officials, industry, Indigenous Peoples, NGOs and community-based organizations;
 - supporting the establishment of these fora in developing countries and helping to build government capacity in countries to address these issues in international trade negotiations.
 - starting national information campaigns on international trade regimes and their environmental and social implications.

Actors: Donor and recipient governments (economic and environmental ministries), NGOs, industry and other stakeholders.

5. Interpret Article XX of GATT to allow individual countries to ban or limit the export of unsustainably harvested forest products. **Actors:** WTO.
6. Oppose the MAI as it poses a major threat to forests. **Actors:** IFF participants.
7. Open up the government decision-making processes on attitudes towards forests at the national and local level to the public. **Actors:** Governments.

8. To enforce the target 2000 of the ITTA and apply it to all forest products. The ITTA renegotiation in 2000 should include all timbers, involve all sectors of society and establish a revised voting structure. **Actors:** ITTA-member states and NGOs.
9. Ratify ILO Conventions 87, 98, 105, 110 and 169, and to support the current Draft Declaration on the Rights of Indigenous Peoples, as well as the establishment of the Permanent Forum on Indigenous Peoples. **Actors:** IFF participant countries.
10. Prohibit trade in illegally produced forest products, assist developing countries to control such trade and build up the capacity to monitor and expose illegal trade. **Actors:** IFF participant countries, donors, NGOs.
11. Eliminate the incremental costs criterion as used by the Global Environment Facility. **Actors:** GEF participants, NGOs.
12. Improve the enforceability of the Convention on Biological Diversity and develop its dispute settlement process. **Actors:** CBD-members states.
13. Allow all NGOs with ECOSOC status to have access to trade negotiations. **Actors:** WTO, EU, regional trade agreements.
14. Include NGOs and Indigenous Peoples on government delegations in trade negotiations. **Actors:** Governments.
15. Publish and disseminate international trade negotiation preparatory and final documents. **Actors:** WTO.

Improving Indigenous Peoples, local communities, and other stakeholder involvement in general, and solving inequities in land tenure in particular.

Lack of acknowledgment of rights of individual and collective rights of Indigenous Peoples and local communities, including women, to access, use and manage natural resources, lands and territories, with emphasis on decision-making, access, participation and control at all levels.

Objectives: Ensure that individual and collective rights, social existence, traditional knowledge, spirituality and land tenure of Indigenous Peoples and local communities, including women, are recognised, protected and guaranteed through the process of national, regional and international legislations and conventions. Achieving this will require adequate government funding, local research, and education.

Actions

1. All governments that participate in the IFF should commit themselves to ratify and promote participation in the ILO 169. **Actors:** Governments, IFF, Indigenous Peoples and local communities.
2. Establish a working group in all countries on the topic of forests with Indigenous Peoples, local communities, and other stakeholders. **Actors:** Governments, ministries, civil society and industry.
3. Ensure participation of Indigenous Peoples and local communities at the negotiation table at the national and international level. **Actors:** Indigenous Peoples and local communities, ministries, industry, and international organizations.
4. Collection and systematization of Indigenous and local community knowledge on sustainable natural resource

management (pending adequate legal protection of such knowledge). **Actors:** NGOs, universities, ministries, Indigenous Peoples and local communities.

5. Increase and strengthen government support for Indigenous Peoples and local communities in SFM. **Actors:** ministries, Indigenous Peoples and local communities organizations.
6. Strengthen and establish technical assistance centers for Indigenous Peoples and local communities to develop databases of projects and legal information on forest legislation and the rights of Indigenous Peoples and local communities, inventories of experiences and successful technologies, international and national marketing. **Actors:** Governments, NGOs, scientific community, Indigenous Peoples and local communities.
7. Promote appropriate legislation on environmental resources (protected areas, forests, oil and minerals) that guarantees the rights of Indigenous Peoples and local communities. **Actors:** parliaments, relevant ministries, Indigenous Peoples and local communities, environmental organizations, women's groups and other elements of civil society.
8. Conduct independent evaluations of potential social, cultural and environmental impacts before any economic activity in forests, and make them public in local languages. **Actors:** Government, Indigenous Peoples and local communities, corporations.
9. Establish negotiation processes with local populations before any economic activity in forests. **Actors:** Government, Indigenous Peoples' organizations.
10. Design mechanisms within CBD, FCCC and CCD to ensure distribution of benefits derived from forests to those that protect them. **Actors:** CBD, UNFCCC, and CCD Parties.
11. Define, compile, and systematize existing information about successful experiences of Indigenous Peoples and local communities in the sustainable management of natural resources. **Actors:** NGOs, universities, IPOs, CBOs and ministries.
12. Ratify and implement CEDAW within all countries.
13. Create and develop an information data base on women's traditional knowledge on forest use, administered by Indigenous and local community women (on the condition that legislation protecting rights to that knowledge is developed and ensured).
14. Incorporate forest related policies, programs and projects on gender in decision-making related to forests.
15. Develop linkages between environmental conventions, ILO 169 and CEDAW.
16. Develop stronger networking among women's groups at the local, national, regional and international levels.
17. Promote capacity building and information sharing about legislation on Indigenous Peoples, the environment and women's knowledge on forest use and management.
18. Promote participation of women in local, national, regional and global events related to forests.
19. Direct more funding and give increased priority to training and for enabling the distribution of information. **Actors(12 - 19):** Government, UN agencies and international agencies, women's groups, Indigenous Peoples and local communities, other interest groups, funding agencies (including international ones), national finance departments.
20. Promote the approval of environmental, oil and mining legislation that guarantees the rights of Indigenous Peoples and local communities. **Actors:** Parliaments and ministries (environment, energy and mining), Indigenous Peoples Organizations and Community-Based Organizations, environmental and women's organizations and other groups within civil society.

Lack of transparency and accountability and the inappropriate and increasing power of government bodies and corporations in land tenure including corruption, militarism, dictatorship, and the inability of Indigenous Peoples and local communities to access information on, influence, support, or oppose development plans or projects.

Objectives: Open, transparent, accountable, participatory, local decision making processes in land planning, use and tenure including recognition of the existing and/or historical land ownership by Indigenous Peoples and local communities, collectively or individually. This will include putting a stop to funding the destruction of natural and indigenous forests and establishing viable alternatives to market led industrial models, ensuring compliance with international conventions and treaties.

Actions

1. Identify high priority land use issues and implement open and transparent processes with Indigenous Peoples, local communities and other interest groups. **Actors:** Governments, Indigenous Peoples, local communities and stakeholders.
2. Recognize the difference in power between groups, develop specific structures for building capacity and authority of marginalized groups (through technical and financial support). **Actors:** Governments, Indigenous Peoples, local communities and stakeholders.
3. Review and redress outstanding land and territory ownership/tenure claims consistent with Indigenous rights and sustainable forest management. **Actors:** Governments, Indigenous Peoples, local communities and stakeholders.
4. Devolve decision making to local players, Indigenous Peoples and other interest groups. **Actors:** Governments, Indigenous Peoples, local communities and stakeholders.
5. UN should develop a "forest keeping" mechanism by supporting civil society's forest investment, monitoring and accountability networks that monitor and ensure compliance with international treaties and conventions pertinent to sustainable forest management. **Actors:** UN, civil society.
6. IFF should ask for seats at the negotiating table of WTO for consumer groups, Indigenous Peoples, local communities, and NGOs. **Actors:** IFF, WTO.
7. Develop publicly accountable mechanisms for scrutinising and monitoring large-scale (forest) industry (both investment proposals and ongoing operations). Government should lead with civil society involvement to ensure transparency, free information flow and legitimacy. Compliance with national and international regulations should be a requirement, and regulation and legislation, where inadequate, should be revised. **Actors:** United Nations agencies, government, civil society representatives.
8. Review and encourage existing and "hot" potential alternatives to industrial forestry. Increase support for alternatives which promote sustainable local economies and livelihoods, for example through fuel substitutes (solar, kerosine and biomass-based substitutes etc), fibre substitutes (recycled, straw, hemp, kenaf, textiles), and non-timber forest products. **Actors:** Funding agencies, alternative technology companies, alternative industries.
9. Increase local and transboundary consumer awareness and behavior by promoting alternatives, for example through 3rd party independent eco-labelling, market, tax, and subsidy incentives, and by having UN agencies, governments, and corporations commit to buying viable alternative products. They should also commit to auditing wood and paper usage for the purpose of eliminating egregious sources and adapt accepted Criteria & Indicators. **Actors:** Civil groups, government UN, corporations, auditors.

10. IFF should promote development and agreement on core global Criteria & Indicators and install these as the basis for internationally enforceable World Trade Organisation rules. **Actors:** IFF.
11. Banks (MDBs and Private) should adopt policies which forbid investment or subsidy in corporations which unsustainably exploit natural forests. Assessment processes must include key civil society groups (especially Indigenous Peoples and local communities). **Actors:** civil society. **Actors:** WB, MDBs, Banks
12. Support effective law enforcement to detect and punish corruption. **Actors:** Government.
13. Eliminate militarism from governance and within economic and social policy making. **Actors:** Governments and corporations.
14. Decentralize forest governance to the control of Indigenous Peoples and local communities. **Actors:** Governments and corporations.
15. Empower Indigenous Peoples and local communities to build and strengthen lobbying capacity and to develop joint lobbying processes amongst Indigenous Peoples, local communities and appropriate interest groups. **Actors:** Government, NGOs, Indigenous Peoples and local communities.

Legal instruments at all levels have weak and ambiguous concepts related to Indigenous Peoples and local communities, weaknesses in ensuring open and clean governance, and in ensuring open access for Indigenous Peoples and local communities, and are not adequately enforced.

Objectives: The development of clear legal instruments requiring consistency on Indigenous Peoples and local communities, open, transparent and clean governance, and adequate enforcement at all levels through the development of appropriate government funding, capacity building and empowerment of Indigenous Peoples and local communities for the purposes of monitoring and enforcement.

Actions

1. Establish independent review panel(s) consisting of Indigenous Peoples, local communities, interest groups and government to review and monitor legal instruments at all levels. **Actors:** Indigenous Peoples, local communities, interest groups, and government.
2. Require separate and dedicated funding for environmental and forest related law enforcement. **Actors:** Government.
3. Require training in law enforcement for all policy makers within government agencies as well as for interest groups at all levels. **Actors:** Government, law enforcement agencies, interest groups.
4. Establish and strengthen links and constructive dialogue between interest groups and government on law enforcement matters. **Actors:** Interest groups, government.
5. Enact and strengthen legislation requiring open access to the policy makers. **Actors:** Government.

Resolving investment policies / aid policies and financial flows

The development model, inappropriate development strategies, structural adjustment programs (SAPs) and

the erosion of government capacity.

Objectives: The social and environmental costs, non-market benefits, and cultural dimensions need to be taken into consideration when assessing the long-term sustainability of economic development. This concept of sustainable development needs to be given more weight. Structural Adjustment Programs (SAPs) need to incorporate social and environmental accountability. A deeper review and analysis of their impacts is needed and negative impacts need to be mitigated. Transparency in decision-making regarding SAPs is needed as part of a broader discussion of policies and proposed changes.

Actions

1. Insist that Bretton Woods institutions allow observers from civil society to participate in biennial review meetings. **Actors:** Bretton Woods institutions, civil society.
2. Encourage the G8, in particular the USA and Japan, to put pressure on Multi-lateral Development Banks (MDBs), in particular the Asian Development Bank (AsDB), to ensure principles of social and environmental sustainability are implemented. **Actors:** G8, MDBs.
3. Development agencies and NGOs should encourage national governments to include civil society in participatory processes in order to better direct development assistance programs. **Actors:** Development agencies, NGOs, national governments, civil society.
4. National and international funders should secure long-term support for a global coalition of NGOs, that will ensure their role in decision-making processes, such as the Club of Paris, G8, and the consultative groups. **Actors:** Funders, NGOs, Club of Paris, G8, consultative groups.
5. Establish a Public Commission to review operation of the IMF on order to increase its transparency. **Actors:** IMF, NGOs, CBOs, IPOs, ITFF, inter-governmental organizations.
6. Finance and Planning ministries together with the World Bank / IMF should establish national level independent consultation mechanisms with civil society to improve the transparency of decision-making with respect to SAPs. **Actors:** Finance and Planning ministries, World Bank, IMF, civil society.
7. Establish a dialogue between ITFF and the IMF to ensure the long-term sustainability of IMF interventions, such as SAPs, ensuring that environmental and social goals have the same importance as the economic goal. **Actors:** ITFF, IMF.

Debt servicing and debt creation

Objective: The capacity to manage natural resources should not be adversely affected by debt servicing. New lending should be structured according to a more realistic ability of countries to service their debts based on a sustainable development strategy, and should include conditionalities, which aim to achieve environmentally and socially sustainable forest management.

Actions

1. Restructure, and where appropriate, write-off debts. Countries, which implement ecologically and socially sustainable forest management, should be rewarded by measures that reduce their debt service. Resources that are freed up in this manner should be ear-marked for sustainable forest management. **Actors:** Lending institutions, governments
2. Explore alternative mechanisms to reduce debt service or forgive debt that contribute to forest loss. **Actors:** Researchers, IMF, Paris Group, donors & recipients.

3. The GEF and international NGOs, amongst other donors, in cooperation with former beneficiaries should review the experiences of debt-for-nature swaps, to evaluate their effectiveness, and explore their future potential. **Actors:** GEF, international NGOs, other donors, beneficiaries.

Perverse Incentives and Subsidies

Objectives: To eliminate subsidies and incentives for forest commodities that adversely impact on forests. Subsidies and incentives on the commodities level should be redirected to the ecosystem level. Evaluate non-forest sector policies in terms of their impact on environmental and social sustainability, and aim to minimize such impacts.

Actions

1. Encourage the ITFF to identify and measure at both the global and national level the impact of perverse subsidies and incentives in the forest and non-forest sectors, particularly agriculture, mining, and hydro-power, that affect forest ecosystems. **Actors:** ITFF, all levels of government, donors, researchers, affected communities, international organizations.
2. Implement capacity building programs for communities as a mechanism to increase the marketing of independent third-party certified forest products. **Actors:** Donors, national government agencies, communities.

Private Capital Flows

Objective: The private sector should internalize what are currently externalities in their operations. Sanctions should be imposed on companies that do not conform to requirements for sustainable forest management. Non-forest sector private capital investments should be evaluated in terms of their impact on sustainable forest management and conditions imposed to ensure sustainable development. Emphasis should be placed on alternative development options, that address, amongst others, the lack of access by communities to financial resources for investment.

Actions

1. Provide favorable conditions or preferential treatment to investments which support socially and environmentally sustainable management. **Actors:** Lending institutions.
2. Establish independent and participatory mechanisms to monitor and control private investment plans and activities. **Actors:** Academia, judiciary, civil society.
3. Fund programs by government departments, such as Finance and Environment to strengthen their capacity to effectively monitor and regulate environmental and social impacts of private investments. **Actors:** Donors, government departments.
4. Create a mechanism which guarantees full accountability by transnational corporations for all their actions in all countries. **Actors:** International organizations, WTO, OECD, in cooperation with national governments, judiciary, NGOs.
5. Ensure adherence to regional standards (criteria and indicators) of sustainable forest management, which are currently being developed, by all countries. **Actors:** Regional organizations, trade unions, NGOs, private sector.
6. Create an international association of environmentally and socially responsible investors to establish a clearing house mechanism that enables institutional investors to support community-based development for

sustainable forest management. **Actors:** International donors, financial institutions, institutional investors, private sector, potential recipients.

7. OECD country export credit agencies should develop and enforce high standards of social and environmental sustainability of investments which they guarantee. The appropriate criteria for social and environmental sustainability should be developed with multi-stakeholder involvement. **Actors:** OECD governments, export credit guarantee agencies, private sector, NGOs.

Governance and Corruption, Institutions, Policy Implementation and Regulation

Objective: Reinforce forest sector governance, institutions, and instruments at different levels.

Actions

1. The UN / CSD should establish an international forest organization. **Actors:** UN CSD, IFF.
2. The IFF should establish codes of conduct for private and forest enterprises. **Actors:** IFF, civil society, private and state sector.
3. OECD Development Assistance Committee (DAC) (with the assistance of NGOs, CBOs, and IPOs) in develop terms of engagement for donor and other funding institutions. **Actors:** OECD/DAC, civil society, donors, recipients.
4. Encourage the UN to organize, agree and conduct international agreements. **Actor:** UN.
5. National governments are urged to fully incorporate principles from Agenda 21 in national laws in consultation with all stakeholders. **Actors:** National governments, civil society.
6. National governments should decentralize forest management and benefit-sharing decisions. **Actors:** National governments.
7. National governments should grant cabinet status to forest ministers. **Actors:** National governments.
8. National governments should separate the regulatory from the enterprise functions within the forest department. **Actors:** National governments.
9. National governments in consultation with all stakeholders, should establish forest trust funds for sectoral development. **Actors:** national governments, donors, civil society.
10. Call on governments to strengthen frameworks and protocols for cross-sectoral coherence in policy development and implementation. **Actors:** National governments, civil society (NGOs, CBOs, private sector).
11. National governments, where appropriate supported by donors, are asked to invest in the institutional strengthening of forest departments. **Actors:** National governments, donors.
12. Invest in capacity building programs for civil society. **Actors:** Donors, recipients, civil society

Local Communities and Indigenous Peoples, Access, Land Tenure and User Rights

Vision and objectives: Forest are considered to be fundamental to the lives of the communities living in and around it, and an element to promote human development, taking into account the biodiversity and cultural aspects. From a holistic point of view forests are not treated as an outside object but as an

integral part of human being, which is not just a definitional issue. The autonomy to tend the land and sustainably use forest resources by indigenous peoples and other marginalised groups dependent on forests should be recognized. Policies that favor local management of community forests should be strengthened and promoted, based on the principle of respect for the knowledge and experience of communities. Participatory methods should be used when working with communities in the management of forest resources.

Actions

1. Stimulate and support community micro-enterprises to utilize the full potential of natural resources through sustainable management plans. **Actors:** NGOs, communities, government, international cooperation.
2. Implement agreements with universities to develop research that improves the production based on the cultural practices of communities. **Actors:** Communities, universities.
3. Formulate policies, which directly enable community-managed projects and initiatives. **Actors:** International cooperation agencies, governments.
4. Assist in building the capacity of communities to understand and interact with IFIs. **Actors:** NGOs, UNDP, government agencies, communities.
5. Create and strengthen a platform for negotiations between the communities and IFIs to eliminate inconsistencies among their policies. **Actors:** Communities, NGOs, IFIs, national and regional organizations, other stakeholders.
6. Promote the exchange of experiences in the use of participatory methods at the international level. **Actors:** NGOs, regional organizations (e.g., OAS).
7. Refrain from granting or extending concessions in areas where Indigenous communities live unless explicit approval has been obtained. **Actors:** Governments, communities.

Valuation

Lack of recognition of cultural values of forests

Objectives: Stop the destruction of spiritual and cultural values and the cosmovision of Indigenous Peoples and traditional communities; to recover and transmit ancestral knowledge related to spirituality and the cosmovision of Indigenous Peoples and other traditional communities.

Actions

1. Denounce all forms of destruction of traditional and indigenous forest values.
 2. Disseminate information and create awareness.
 3. Research and recover the elements of traditional values and cosmovision.
 4. Compile the results of research on traditional knowledge systems integrating traditional and academic methodology.
 5. Promote learning and effective use of Indigenous languages.
- Actors:** Members of communities, community organizations, NGOs, governments, academic organizations, UNESCO, communication media, progressive political and religious leaders, FAO, elders of traditional communities, donors.

Lack of recognition of land tenure rights, especially community and collective rights;

Objective: Develop legislation to secure collective and community rights, including land tenure and collective and community property rights.

Actions

1. Study deficiencies of legislation in each country and promote changes in legislation towards legislating on collective and community property and land tenure. **Actors:** Community organizations, NGOs, academia, donor institutions.
2. Create public awareness on the need to regulate the collective use of forests and their resources.
3. Promote participation of Indigenous and traditional community representatives, including peasant, traditional black and other traditional communities, in national parliaments
4. Lobby parliament members on the need for laws to regulate the collective use of forests and their resources.
5. Elaborate concrete legislation proposals and present these proposals to parliaments.

Actors: Community organizations, NGOs, social movement leaders and politicians, communication media.

Undervaluation of community forestry and non timber forest products. Over-valuation of timber as the main forest product.

Objective: Recover and transmit traditional knowledge of non timber forest products. Collectively study orally transmitted knowledge systems which, according to the traditional concept of knowledge, are used but not owned by present generations, assuring that the knowledge thus compiled, is returned to forest communities.

Actions

1. Establish community level fora and other mechanisms, including mass media, to educate foresters and politicians and inform decision-makers, citizens and mass media on forest ecosystem management, including traditional forest related knowledge.
2. Establish a research programme on traditional forest-related knowledge directed by communities themselves and disseminate the results, taking into account the ongoing discussions on intellectual property rights in relation to the processes of the CBD.

Actors: Local, regional, national authorities, local community leaders, academia, mass media, donors.

Objective: Find ways to ensure that benefits derived from full valuation of non-timber forest products are gained by local people.

Actions

1. Conduct research to identify non-timber forest products, with full participation of local communities in cooperation with academic institutions, governments and NGOs.
2. Study all possibilities to add value to non-timber forest products within local communities.
3. Apply methods and techniques for the sustainable production of non-timber forest products.
4. Create and establish modes of cooperation in local communities for the commercialization of their products at local, regional, national and international levels.

Actors: Members of the communities, Community organizations, NGOs, Academic institutions, Governments, Donors, Commercial organizations which show solidarity with interests of local communities.

Objective: Find ways to incorporate the real value of timber

Actions

1. Adapt the economic value of timber to integrate the social and environmental values related to forest ecosystems and use this in decision making processes, particularly in the design of legislation and policy instruments for the conservation of forest ecosystems. **Actors:** academia, governments, legislators, NGOs.
2. Establish a mechanism to enforce national legislation related to forests, developing a range of incentives and strengthening civil society. **Actors:** Governments, donors, IGOs, NGOs.

Failure to value the forest as an ecosystem; lack of recognition of multiple functions of forests, and lack of capacity to manage forests.

Objectives: Ensure that natural forests are valued as fully functional ecosystems. The perpetuation of the ecological integrity of all remaining stands of primary forests. Acknowledge the restoration potential of all forests. Develop an equitable valuation system for non timber goods and ecological functions. Ensure that the FAO definitions of forests, deforestation, afforestation and degradation of forests are changed to include more than just tree cover. Review and consolidate national systems of protected areas and ensure they are compatible with the social and economic reality and needs of local communities.

Actions

1. Change the FAO definition of forests and forest related concepts (deforestation, afforestation, reforestation, plantations) to include the ecosystem approach as defined in the CBD and introduce definitions for different types of forests. **Actors:** ITFF.
2. Develop an international research program to assess forest values, goods and services. This programme should work at different levels. Information should be disseminated to communities, NGOs, schools, forest sector, governments, and bring all levels together to integrate this information into management and decision making. Criteria for choosing the coordinating institute should include independence, global mandate, interdisciplinary knowledge, encompass an advisory board, scientific capacity, and capacity to link different sectors of knowledge. **Actors:** Scientific community, NGOs, Governments.
3. Ensure that all forest values are taken into account in all decision making processes which affect forests and that they are incorporated by the forestry sector. **Actors:** Governments, NGOs, forest departments.
4. Ensure that strategic Environmental Impact Assessments are mandatory for all projects in or near natural forests. **Actors:** Governments.
5. Develop an international network of ecologically representative and viable protected areas. **Actors:** Governments, NGOs.
6. Establish national forest plans via a totally participatory process including all stakeholders and the following essential elements: protected areas, extractive reserves, community forest projects, restoration projects and the development and implementation of criteria and indicators for sustainable forest management. **Actors:** Governments, NGOs.
7. Provide alternatives for local communities which are compatible with protected area policies. **Actors:** Governments.
8. Develop international principles and criteria for sustainable forest management, including economic, ecological, social and cultural values. **Actors:** IFF.

Objective: Revise current legislation on natural resources with respect to the total value of forest ecosystems.

Actions

1. Compare and analyse the effectiveness of national legislation for improvements.
2. Consider the inclusion of different forms of traditional forest related knowledge into legislation.
3. Exchange experience on revised legislation.

Actors: Governments, international community, NGOs, legislators, community leaders.

Objective: Revise legislation in other sectors related to natural resources (i.e. agriculture, mining) to ensure that they do not impact negatively upon forest ecosystems.

Actions

1. Evaluate the impact of sectoral policy on the conservation of forest ecosystems. **Actors:** academia, government, NGOs.
2. Require Environmental Impact Assessment for every activity and project (domestic or overseas) affecting forests, before implementation. **Actors:** academia, NGOs, private sector, governments, legislators.
3. Repeal perverse policy instruments that artificially enhance the economic attractiveness of land uses that lead to the destruction of forests. **Actors:** Governments.

Appendix: New Actions

While recognizing that all actions presented at the workshop are an important record of the actions needed to address the underlying causes of deforestation and forest degradation, it was decided to highlight the actions that are ostensibly different from the Intergovernmental Panel on Forests, Proposals for Action:

Actions

1. Increase education and awareness (both formal and informal) about the full life-cycle and impacts of production, consumption and trade of forest products and those other products that impact forests, by devoting resources to education and awareness-building; incorporating education and awareness-building into curricula and conducting research on changing patterns; identifying initiatives and lifestyles that reduce consumption and its impacts; developing a consumers' guide and developing consumers' networks; expanding training for environmental education; improving consumer information with labeling. **Actors:** Governments, industry, academic institutions, NGOs, consumer's organizations.
2. Develop, implement and enforce integrated and holistic national policies to change consumption and production patterns, with full transparency and civil participation, by:
 - incorporating the concept of ecosystem services;
 - elaborating the work program on consumption and production of the UN Commission on Sustainable Development in the field of forest products and other products which impact upon forests;
 - collecting information and reporting to the IFF on innovative government policies aimed at changing consumption, production and trade of all products that affect forests.**Actors:** IFF, CBD, governments, NGOs.
3. Shift penalties and incentives (subsidies, taxes, sector promotion etc) from promoting unsustainable consumption and production patterns to promoting sustainable consumption and production patterns and trade. **Actors:** Governments, bilateral and multilateral donors.
4. Develop concrete policies to address over-consumption of imported goods (luxuries and weapons etc.), as a macro-economic policy to address trade imbalances. **Actors:** Governments, multilateral development banks, the IMF.
5. Reduce advertising that promotes unsustainable lifestyles and consumption, and reduce paper consumption of the advertising industry by 75%. **Actors:** Business, government, NGOs in partnership.
6. Improve data collection and dissemination on the production, consumption and trade in forest products and products that impact forests, inter alia by strengthening independent initiatives (such as Global Forest Watch) to monitor the status of forests and pressure on forests. **Actors:** FAO, governments, NGOs, academia.
7. Develop and implement certification schemes of non-forest products (such as forest product substitutes, agricultural products, oil and minerals). **Actors:** Industry, government and all producers of non-forest products that impact forests.
8. Recommend that the February 1999 UNCTAD/ITTO meeting to discuss the relationship between the international trade regime and environmental and human rights' conventions. **Actors:** Governments, NGOs.
9. Include a discussion on the imbalance between trade and sustainable development regimes in the agenda of IFF3 and IFF 4 and organize an intersessional on this specific issue between IFF 3 and IFF 4 **Actors:** IFF.

10. Recommending not to establish an International Negotiating Commission on a legally binding instrument on forests until progress has been made to redress the imbalance between trade and other international agreements. **Actors:** IFF.
11. Establish a dialogue between NGOs, industry and other stakeholders on the need to address the imbalance between trade and sustainable development regimes, inter alia by:
 - Establishing national fora, which involve government, trade, environment and forestry officials, industry, indigenous peoples, NGOs and community-based organizations;
 - Supporting the establishment of these fora in developing countries and helping to build government capacity in countries to address these issues in international trade negotiations.
 - Starting national information campaigns on international trade regimes and their environmental and social implications.**Actors:** donor and recipient governments (economic and environmental ministries), NGOs, industry and other stakeholders.
12. Interpret Article XX of GATT to allow individual countries to ban or limit the export of unsustainably harvested forest products. **Actors:** WTO.
13. Oppose the MAI as it poses a major threat to forests. **Actors:** IFF participants.
14. Open up the government decision-making processes on attitudes towards forests at the national and local level to the public. **Actors:** Governments.
15. To enforce the target 2000 of the ITTA and apply it to all forest products. The ITTA renegotiation in 2000 should include all timbers, involve all sectors of society and establish a revised voting structure. **Actors:** ITTA-member states and NGOs.
16. Prohibit trade in illegally produced forest products, assist developing countries to control such trade and build up the capacity to monitor and expose illegal trade. **Actors:** IFF participant countries, donors, NGOs.
17. Eliminate the incremental costs criterion as used by the Global Environment Facility. **Actors:** GEF participants, NGOs.
18. Improve the enforceability of the Convention on Biological Diversity and develop its dispute settlement process. **Actors:** CBD Parties.
19. Allow all NGOs with ECOSOC status to have access to trade negotiations. **Actors:** WTO, EU, regional trade agreements.
20. Include NGOs and indigenous peoples on government delegations in trade negotiations. **Actors:** Governments.
21. To publish and disseminate international trade negotiation preparatory and final documents. **Actor:** WTO.
22. Strengthen and establish technical assistance centers for Indigenous Peoples and local communities to develop databases of projects and legal information on forest legislation and the rights of Indigenous Peoples and local communities, inventories of experiences and successful technologies, international and national marketing. **Actors:** Governments, NGOs, scientific community, Indigenous Peoples and local communities.

23. Conduct and make public, in local languages, independent evaluations of potential social, cultural and environmental impacts before any economic activity in forests. **Actors:** Government, Indigenous Peoples and local communities, corporations.
24. Design mechanisms within CBD, FCCC and CCD to ensure distribution of benefits derived from forests to those that protect them. **Actors:** CBD, UNFCCC, and CCD Parties.
25. Ratify and implement CEDAW within all countries. **Actors:** Government, UN agencies and international agencies, women's groups, Indigenous Peoples and local communities, other interest groups, funding agencies (including international ones), national finance departments.
26. Create and develop an information data base on women's traditional knowledge on forest use, administered by Indigenous and local community women (on the condition that legislation protecting rights to that knowledge is developed and ensured). **Actors:** Government, UN agencies and international agencies, women's groups, Indigenous Peoples and local communities, other interest groups, funding agencies (including international ones), national finance departments.
27. Incorporate forest related policies, programs and projects on gender. **Actors:** Government, UN agencies and international agencies, women's groups, Indigenous Peoples and local communities, other interest groups, funding agencies (including international ones), national finance departments.
28. Develop linkages between environmental conventions, ILO 169 and CEDAW. **Actors:** Government, UN agencies and international agencies, women's groups, Indigenous Peoples and local communities, other interest groups, funding agencies (including international ones), national finance departments.
29. Develop stronger networking among women's groups at the local, national, regional and international levels. **Actors:** Government, UN agencies and international agencies, women's groups, Indigenous Peoples and local communities, other interest groups, funding agencies (including international ones), national finance departments.
30. Promote capacity building and information sharing about legislation on Indigenous Peoples, the environment and women's knowledge on forest use and management. **Actors:** Government, UN agencies and international agencies, women's groups, Indigenous Peoples and local communities, other interest groups, funding agencies (including international ones), national finance departments.
31. Promote participation of women in local, national, regional and global events related to forests. **Actors:** Government, UN agencies and international agencies, women's groups, Indigenous Peoples and local communities, other interest groups, funding agencies (including international ones), national finance departments.
32. Provide funding for training and enable the distribution of information. **Actors:** Government, UN agencies and international agencies, women's groups, Indigenous Peoples and local communities, other interest groups, funding agencies (including international ones), national finance departments.
33. Promote the approval of environmental, oil and mining legislation that guarantees the rights of Indigenous Peoples and local communities. **Actors:** Parliaments and ministries (environment, energy and mining), Indigenous Peoples Organizations and Community-Based Organizations, environmental and women's organizations and other groups within civil society.
34. Devolve decision making to local players, Indigenous Peoples and other interest groups. **Actors:** Governments, Indigenous Peoples, local communities and stakeholders.

35. UN should develop a "forest keeping" mechanism by supporting civil society's forest investment, monitoring and accountability networks that monitor and ensure compliance with international treaties and conventions pertinent to sustainable forest management. **Actors:** UN, civil society.
36. IFF should ask for seats at the negotiating table of WTO for consumer groups, Indigenous Peoples, local communities, and NGOs. **Actors:** IFF, WTO.
37. Develop publicly accountable mechanisms for scrutinising and monitoring large-scale (forest) industry (both investment proposals and ongoing operations). Government should lead with civil society involvement to ensure transparency, free information flow and legitimacy. Compliance with national and international regulations should be a requirement, and regulation and legislation, where inadequate, should be revised. **Actors:** United Nations agencies, government, civil society representatives.
38. Increase local and transboundary consumer awareness and behavior by promoting alternatives, for example through third-party independent eco-labelling, market, tax, and subsidy incentives, and by having UN agencies, governments, and corporations commit to buying viable alternative products. They should also commit to auditing wood and paper usage for the purpose of eliminating egregious sources and adapt accepted Criteria & Indicators. **Actors:** Civil groups, government UN, corporations, auditors.
39. IFF should promote development and agreement on core global Criteria & Indicators and install these as the basis for internationally enforceable World Trade Organisation rules. **Actors:** IFF.
40. Banks (MDBs and Private) should adopt policies which forbid investment or subsidy in corporations which unsustainably exploit natural forests. Assessment processes must include key civil society groups (especially Indigenous Peoples and local communities). **Actors:** civil society. **Actors:** WB, MDBs, Banks.
41. Support effective law enforcement to detect and punish corruption. **Actors:** Government.
42. Eliminate militarism from governance and within economic and social policy making. **Actors:** Governments and corporations.
43. Decentralize forest governance to the control of Indigenous Peoples and local communities. **Actors:** Governments and corporations.
44. Empower Indigenous Peoples and local communities to build and strengthen lobbying capacity and to develop joint lobbying processes amongst Indigenous Peoples, local communities and appropriate interest groups. **Actors:** Government, NGOs, Indigenous Peoples and local communities.
45. Establish independent review panel(s) consisting of Indigenous Peoples, local communities, interest groups and government to review and monitor legal instruments at all levels. **Actors:** Indigenous Peoples, local communities, interest groups, and government.
46. Require separate and dedicated funding for environmental and forest related law enforcement. **Actors:** Government.
47. Require training in law enforcement for all policy makers within government agencies as well as for interest groups at all levels. **Actors:** Government, law enforcement agencies, interest groups.
48. Establish and strengthen links and constructive dialogue between interest groups and government on law enforcement matters. **Actors:** Interest groups, government.

49. Enact and strengthen legislation requiring open access to the policy makers. **Actors:** Government.
50. Insist that Bretton Woods institutions allow observers from civil society to participate in biennial review meetings. **Actors:** Bretton Woods institutions, civil society.
51. Encourage the G8, in particular the USA and Japan, to put pressure on Multi-lateral Development Banks (MDBs), in particular the Asian Development Bank (AsDB), to ensure principles of social and environmental sustainability are implemented. **Actors:** G8, MDBs.
52. National and international funders should secure long-term support for a global coalition of NGOs, that will ensure their role in decision-making processes, such as the Club of Paris, G8, and the consultative groups. **Actors:** Funders, NGOs, Club of Paris, G8, consultative groups.
53. Establish a Public Commission to review operation of the IMF on order to increase its transparency. **Actors:** IMF, NGOs, CBOs, IPOs, ITFF, inter-governmental organizations.
54. Finance and Planning ministries together with the World Bank / IMF should establish national level independent consultation mechanisms with civil society to improve the transparency of decision-making with respect to SAPs. **Actors:** Finance and Planning ministries, World Bank, IMF, civil society.
55. Establish a dialogue between ITFF and the IMF to ensure the long-term sustainability of IMF interventions, such as SAPs, ensuring that environmental and social goals have the same importance as the economic goal. **Actors:** ITFF, IMF.
56. Restructure, and where appropriate, write-off debts. Countries, which implement ecologically and socially sustainable forest management, should be rewarded by measures that reduce their debt service. Resources that are freed up in this manner should be ear-marked for sustainable forest management. **Actors:** Lending institutions, governments.
57. Encourage the ITFF to identify and measure at both the global and national level the impact of perverse subsidies and incentives in the forest and non-forest sectors, particularly agriculture, mining, and hydro-power, that affect forest ecosystems. **Actors:** ITFF, all levels of government, donors, researchers, affected communities, international organizations.
58. Create a mechanism which guarantees full accountability by transnational corporations for all their actions in all countries. **Actors:** International organizations, WTO, OECD, in cooperation with national governments, judiciary, NGOs.
59. Create an international association of environmentally and socially responsible investors to establish a clearing house mechanism that enables institutional investors to support community-based development for sustainable forest management. **Actors:** International donors, financial institutions, institutional investors, private sector, potential recipients.
60. OECD country export credit agencies should develop and enforce high standards of social and environmental sustainability of investments which they guarantee. The appropriate criteria for social and environmental sustainability should be developed with multi-stakeholder involvement. **Actors:** OECD governments, export credit guarantee agencies, private sector, NGOs.
61. The UN / CSD should establish an international forest organization. **Actors:** UN CSD, IFF.

62. OECD Development Assistance Committee (DAC) (with the assistance of NGOs, CBOs, and IPOs) in develop terms of engagement for donor and other funding institutions. **Actors:** OECD/DAC, civil society, donors, recipients.
 63. Implement agreements with universities to develop research that improves the production based on the cultural practices of communities. **Actors:** Communities, universities.
 64. Study all possibilities to add value to non-timber forest products within local communities.
 65. Create and establish modes of cooperation in local communities for the commercialization of their products at local, regional, national and international levels.
 66. Repeal perverse policy instruments that artificially enhance the economic attractiveness of land uses that lead to the destruction of forests. **Actors:** Governments.
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